

ARKANSAS REGISTER

Transmittal Sheet



Sharon Priest
Secretary of State
State Capitol Rm. 01
Little Rock, Arkansas 72201-1094

For Office Use Only: Effective Date 10/1/99 Code Number 153.00.99-001

Name of Agency Arkansas Ethics Commission

Department _____

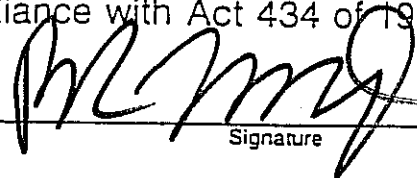
Contact Person Bob R. Brooks, Jr. Phone 324-9600

Statutory Authority for Promulgating Rules Ark. Code Ann. § 7-6-217(g)(1)

	Date
Intended Effective Date	Legal Notice Published 8-8-99
<input type="checkbox"/> Emergency	Final Date for Public Comment 9-16-99
<input checked="" type="checkbox"/> 10 Days After Filing	Filed With Legislative Council 9-21-99
<input type="checkbox"/> Other	Reviewed by Legislative Council 10-7-99
_____	Adopted by State Agency 9-17-99

CERTIFICATION OF AUTHORIZED OFFICER

I Hereby Certify That The Attached Rules Were Adopted
In Compliance with Act 434 of 1967 As Amended.



Signature

501-324-9600
Phone Number

Director
Title

September 21, 1999
Date

FILED
REGISTERED DIV
SEP 21 PM 9:39

ARKANSAS ETHICS COMMISSION

RULES OF PRACTICE AND PROCEDURE

910 West Second Street, Suite 100
Post Office Box 1917
Little Rock, Arkansas 72203-1917
(501) 324-9600 or (800) 422-7773
Facsimile (501) 324-9606

FILED
REGISTER DIV.
SEP 21 11 31 0
016 11 12 1880
STATE OF ARKANSAS
COMMERCIAL REGISTER

TABLE OF CONTENTS

I.	DESCRIPTION	1
II.	COMMISSION & STAFF	1
III.	GENERAL ADMINISTRATION	7
IV.	MATTERS BEFORE THE COMMISSON	8
V.	INITIATION OF COMPLAINT	11
VI.	INVESTIGATION PROCEDURE	13
VII.	PUBLIC HEARING	17
VIII.	RENDERING OF DECISION	19
IX.	DEFINITIONS OF PUBLIC LETTERS	21
X.	JUDICIAL REVIEW	22
XI.	FORMS AND INSTRUCTIONS	22
XII.	APPENDIX	23

I. DESCRIPTION

The Arkansas Ethics Commission ("Commission") is composed of five appointed Commissioners who enforce certain ethics, conflicts of interest, lobbying, campaign, campaign finance, and ballot question laws within the State of Arkansas. In accordance with these rules of practice and procedure, the Commission issues advisory opinions and legal interpretations of law, and acts as fact-finder and sanctioning body for those alleged to have violated those laws under its jurisdiction. Information may be obtained from the Commission by written request. The Commission staff, which may consist of a director, staff attorney(s), director(s) of compliance and others, act as the administrator and operating entity of the Commission. This staff, or members thereof, may make office administrative procedure, act as spokesman for the Commission, receive correspondence and correspond on behalf of the Commission, provide legal and other research to the Commission, investigate allegations of violations of laws under the Commission's jurisdiction, and perform such other functions as the Commission deems appropriate. These rules of practice and procedure shall govern all proceedings before the Commission and shall be applicable to any complaints filed or initiated after the effective date hereof. In accordance with Ark. Code Ann. § 25-15-204(c), any person may petition the Commission for the issuance, amendment, or repeal of any rule.

II. COMMISSION & STAFF

A. Commission Organization

(1) The Commission shall consist of five (5) Commissioners who shall be appointed as follows:

- one member by the Governor of the State of Arkansas
- one member by the Lieutenant Governor of the State of Arkansas
- one member by the Attorney General of the State of Arkansas
- one member by the Speaker of the Arkansas House of Representatives
- one member by the President Pro Tempore of the Arkansas Senate

(2) Pursuant to Ark. Code Ann. § 7-6-217(b)(1), the Commission shall, at all times, have among its members:

- one member of a minority race
- one woman
- one member of a minority political party

(3) Each Commissioner has a responsibility to attend all regular or special meetings of the Commission. Any Commissioner who fails to attend three (3) consecutive regular meetings shall be subject to removal from the Commission pursuant to Ark. Code Ann. § 25-17-211.

(4) In accordance with Ark. Code Ann. § 7-6-217, Commissioners shall be appointed for terms of five (5) years and they shall continue to serve until their successors have been appointed and taken the official oath. No person may be appointed to serve consecutive terms on the Commission; provided, however, that any Commissioner who has been appointed to serve two (2) years or less of an unexpired term shall be eligible for an appointment to a subsequent five (5) year term.

(5) The Commission shall annually elect one of its members to serve as chairman for a term of one (1) year. The Commission may elect a vice-chairman and such other officers as a majority of the Commissioners choose. The vice-chairman shall serve as chairman in the absence, disqualification or disability of the chairman.

(6) The election of officers shall be conducted at the first regular meeting of the Commission following January 1 of each year. The Commission may form such committees or subcommittees as it deems necessary and/or appropriate to accomplish its legal aims and purposes. The Commission may appoint one or more of its members to an unofficial committee or subcommittee and may invite non-Commissioners to participate as unofficial committee or subcommittee members.

(7) At each meeting of the Commission, three (3) members shall constitute a quorum whether in person or by electronic or telephonic means. However, an affirmative vote of at least three (3) Commissioners physically present at a meeting is required before any sanction(s) can be imposed. The vote of each member voting on any action shall be a public record.

(8) A majority of the members of the Commission present shall vote on any matter before the Commission for any decision of the Commission to become effective. The following matters shall be by motion, followed by a second, in order for a vote of the Commission to be valid:

- a. all matters requiring affirmative action by the full Commission or one of its members;
- b. all decisions on public positions taken by the full Commission;
- c. all decisions on advisory opinions and declaratory orders; and
- d. all decisions regarding findings of fact and conclusions of law or other actions regarding a person accused of violating any laws under the Commission's jurisdiction.

(9) The Commission may, by majority vote, delegate the execution of any official duty or action to its chairman, one of its members, or the director.

(10) A vacancy on the Commission shall not impair the right of the Commission to exercise its statutory powers and authority, subject to the requirement that a quorum be present and participating before any action of the Commission shall be considered valid.

(11) No Commissioner shall be a federal, state or local government official or employee, an elected public official, a candidate for public office, a lobbyist as defined in Ark. Code Ann. § 21-8-402(11), or an officer or paid employee of an organized political party as defined in Ark. Code Ann. § 7-1-101(1).

(12) Each Commissioner, during the entire term of his or her service on the Commission, shall be prohibited from participating in, raising funds for, making contributions to, providing services to, or lending his or her name in support of any candidate for election to a state, district, county, municipal or school board office or in support of a ballot issue or issues submitted or intended to be submitted to voters of the state of Arkansas, excluding the exercise of the right to vote or the mere signing of an initiative or referendum petition. This prohibition shall not extend to the spouse or family members of a Commissioner nor to his or her business partners or professional associates.

(13) Unless required for the disposition of ex parte matters authorized by law, the Commissioners shall not communicate, directly or indirectly, in connection with any issue of fact with any person, including the complainant and the respondent nor, in connection with any issue of law, with either the complainant or the respondent, or their representatives, except upon notice and opportunity for the complainant and respondent to participate.

B. Staff Organization

(1) The Commission shall employ a director who shall serve at the will and pleasure of the Commission.

(2) The director shall employ a staff, with the consent of the Commission, to assist in the administration of the Commission office.

(3) The director shall be responsible to the full Commission and shall not be answerable to any member thereof. The director shall ensure, however, that the chairman of the Commission is advised of the progress and conduct of the employees and operation of the Commission office.

(4) Though the director's hiring of staff shall be with the consent of the Commission, such employees, once approved for employment, shall be the responsibility of the director in matters common to an employer/employee relationship, and the director shall be responsible to the Commission for the actions of employees on the staff.

(5) Each member of the Commission staff, during the entire term of his or her service on the Commission, shall be prohibited from participating in, raising funds for, making contributions to, providing services to, or lending his or her name in support of any candidate for election to a state, district, county, municipal or school board office or in support of a ballot issue or issues submitted or intended to be submitted to the voters of the state of Arkansas excluding the exercise of the right to vote or the mere signing of an initiative or referendum petition. This prohibition shall not extend to the spouse or family members of the employee.

C. Meeting Times and Sites

(1) Meetings shall be regularly scheduled and held, subject to cancellation or re-scheduling by majority vote of the members. The date, time and place of each regular meeting shall be furnished to anyone who requests the information. Should there fail to be a quorum at a scheduled meeting, then such meeting may be rescheduled by the chairman provided all members are given reasonable notice of the date, time and place of the rescheduled meeting. Special meetings of the Commission may be called by the chairman, provided that the majority of the members of the Commission so consent. Commissioners may call a meeting by written request to the chairman of any three Commissioners. In the event of a special meeting, notification of the date, time and place of the meeting shall be given, at least two (2) hours before the meeting takes place, to the news media located in the county in which the meeting is to be held and those located elsewhere that cover regular meetings of the Commission and have requested to be so notified.

(2) The Commission may vary its meeting site to accommodate its needs and accomplish its purposes.

(3) The director shall prepare a proposed agenda for each regular meeting, and the proposed agenda shall be distributed to the Commission members prior to any such meeting. Any Commissioner may add items to the agenda by notification to the director twenty-four (24) hours before the scheduled

meeting date. Any item may be added to the agenda at any time with the unanimous consent of the Commission.

D. Meeting Procedure

(1) All meetings of the Commission shall be governed by Robert's Rules of Order, except as may be modified by a majority of the Commission members and by these rules of practice and procedure.

(2) Any Commissioner who has an actual conflict of interest in any proceeding before the Commission shall recuse voluntarily from any involvement in the matter. If a majority of the Commissioners determines that one of its members has such a conflict, they may, by affirmative vote, disqualify said member from participation in the matter.

(3) All meetings of the Commission, except as provided in subparagraph (D)(4) of this section or Ark. Code Ann. § 25-19-106(c), shall be open to the public.

(4) Any portion of a Commission meeting at which official complaints, including Commission initiated complaints, are considered shall be in confidential session and not open to the public. Following any such confidential session, the Commission shall reconvene in public to vote on any matters constituting final action.

(5) All records generated or accepted by the Commission and its staff shall be open to public inspection, except for: (a) matters which are parts of confidential investigations or inquiries, and (b) the advice and opinions of the director or staff attorney(s) when acting as the Commission's counsel on matters which may be considered to have occurred in an attorney-client relationship.

(6) All proceedings, records, and transcripts of any investigations or inquiries shall remain confidential and not subject to disclosure, unless: (a) the respondent requests disclosure of the documents; (b) there is a public hearing before the Commission; or (c) there is judicial review of a

Commission decision. Provided, however, that the Commission may, through its members or staff, disclose confidential information to proper law enforcement officials, agencies and bodies or as may be required to conduct its investigation. Moreover, thirty (30) days after any final adjudication in which the Commission makes a finding of a violation, all records relevant to the investigation and upon which the Commission based its decision, except working papers of the Commission and its staff, shall be open to public inspection.

III. GENERAL ADMINISTRATION

(1) The Commission shall delegate to the director the authority to operate the Commission office, with his or her duties enumerated by the Commission. Such duties shall include, but not be limited to, the following:

- a. Conducting general administration of the Commission office and its staff in a business-like and efficient manner. The director shall periodically report to the Commission concerning the conduct and operation of the office;
- b. Managing the appropriated budget of the Commission, and ensuring that all expenditures from budgeted money are made within the law and general purposes of the Commission. The director shall periodically report to the Commission concerning the financial status of the office;
- c. Preparing and maintaining files and records on the activities, matters and persons coming under the authority and responsibility of the Commission.;
- d. Preparing reports, studies, opinions, policy statements, legal interpretations and other matters as required by the Commission;
- e. Receiving and responding to correspondence on behalf of the Commission on matters relating to official Commission business;

f. Managing travel, logistics, expenses and reimbursement for Commissioners and staff and scheduling seminars and training by or for the Commission; and

g. Ensuring that the Commission office and its employees reflect good character, comply with the law, and carry out other duties as may, from time to time, be enumerated by the Commission.

IV. MATTERS BEFORE THE COMMISSION

A. Advisory Opinions

(1) Advisory opinions, except Commission initiated opinions, shall be issued only in response to a written request setting forth an inquiry into matters falling under the jurisdiction of the Commission.

(2) The Commission may, on its own initiative, direct the staff to prepare a draft opinion, or it may accept a draft advisory opinion from the staff without first receiving a request when the Commission determines the subject of the draft opinion is of such public concern that an advisory opinion would benefit the public.

(3) No advisory opinion shall be valid, official or have any effect unless same has been approved by a vote of a majority of a quorum of the Commission.

(4) Any citizen shall be entitled to request an advisory opinion from the Commission. Any request which meets these procedural guidelines shall be responded to within ninety (90) days, unless good cause be shown.

(5) The response to opinion requests shall be prepared by the Commission staff and shall be presented by staff to the full Commission for its consideration within the time limit set forth above, unless good cause be shown.

(6) The Commission is not bound by or obligated to release the conclusions or language of the staff's draft opinion but may alter, amend, add to, or strike any portion of the draft opinion, or may order that said draft opinion be tabled for future consideration or that it be rewritten to comply with the Commission's directives, as the Commission shall so decide.

(7) No draft opinion prepared by the Commission staff shall be considered an official opinion until it has received an affirmative vote of a majority of a quorum of the Commission.

(8) The Commission may reconsider, withdraw, or amend prior opinions upon request of a citizen, or on its own motion, on a majority vote of a quorum of the Commission. In such event, written notice shall be mailed to the citizen who originally requested the opinion at the last address which that citizen provided to the Commission.

(9) All advisory opinions issued by the Commission shall be made available for public inspection.

B. Declaratory Orders

(1) The Commission shall, upon the filing of a petition for declaratory order by any person subject to the Commission's jurisdiction, promptly issue a declaratory order as to the applicability of any rule, statute, or order enforced by it. Said petition shall contain the name, mailing address, telephone number and signature of the person requesting the order and a full and complete statement of the facts or circumstances applicable to that person. Such declaratory orders shall have the same status as final orders of the Commission in cases of adjudication.

(2) No declaratory order shall be valid, official or have any effect unless same has been approved by a vote of a majority of a quorum of the Commission.

(3) The Commission is not bound by or obligated to release the conclusions or

language of the staff's draft order but may alter, amend, add to, or strike any portion of the draft order, or may table said draft order for future consideration or request that it be rewritten to comply with the Commission's directives, as the Commission shall so decide.

(4) No draft order prepared by the Commission staff shall be considered an official order until it has received an affirmative vote of a majority of a quorum of the Commission.

(5) The Commission may reconsider, withdraw, or amend prior orders upon request of a citizen, or on its own motion, on a majority vote of a quorum of the Commission.

(6) All declaratory orders issued by the Commission shall be made available for public inspection.

C. Monitoring Compliance with Ethics and Disclosure Laws-Corrective Action Letters

(1) The Commission, through its staff, shall periodically review documents required to be filed under the laws enforced by the Commission.

(2) Persons who have failed to file, filed late, or filed incomplete, false or materially misleading documents may be contacted in writing by the Commission or its staff and advised to take corrective action. The contact and advice may be in lieu of, or in addition to, other action(s) by the Commission under Ark. Code Ann. § 7-6-218(b)(4).

(3) If the Commission or its staff is notified by the Secretary of State, a county clerk or city clerk or recorder that a person required to file documents under the Commission's jurisdiction has failed to file, filed late, or filed incomplete, false or materially misleading documents, the Commission may contact the person and advise him or her to take corrective action as to the document(s) required to be filed. The contact and advice may be in lieu of, or in addition to, other action(s) by the Commission under Ark. Code Ann. § 7-6-218(b)(4).

(4) Corrective action letters shall be public records. However, the sending of a corrective action letter is not tantamount to the finding of a violation by the Commission. Instead, such letters are a means of seeking public disclosure. Persons who fail to take corrective action when advised to do so by the Commission may, after investigation, be subject to sanction(s) in accordance with these rules.

V. INITIATION OF COMPLAINT

A. Citizen Complaint

(1) The Commission staff has prepared a form on which any citizen may make a complaint of an alleged violation of the laws over which the Commission has jurisdiction. The Commission citizen complaint form may be furnished to any person who expresses an intent to file a complaint, free of cost to the citizen.

(2) A complaint must be filed within four (4) years after the alleged violation occurred. If the alleged violation is the failure to file a report or the filing of an incorrect report, the complaint must be filed within four (4) years after the date the report was due.

(3) A valid complaint to the Commission must:

- a. Clearly set forth the name(s) of the person(s) alleged to have violated laws under the Commission's jurisdiction;
- b. Clearly set forth the facts the complainant believes constitute a violation of laws under the Commission's jurisdiction and;
- c. Be signed under penalty of perjury.

(4) A valid complaint must be accepted by the staff of the Commission provided it is written on a Commission complaint form or is otherwise reduced to writing.

(5) Any Commissioner who shall receive a written complaint or evidence relevant to an on-going complaint investigation shall immediately transfer same to the director of the Commission for proper handling. If, however, the written complaint is against the director or other staff member, the Commissioner shall not release same to the director, except as provided in these rules.

B. Complaints Against Staff or Commissioners

(1) Complaints against the director or any staff member of the Commission shall be filed with the chairman of the Commission.

(2) Complaints against any Commissioner shall be filed with the director of the Commission, or with any of the remaining Commissioners.

C. Commission Initiation of Investigation

(1) The director or a staff attorney may initiate an investigation not otherwise contained in a sworn complaint by:

a. Notifying the chairman of the name of the individual alleged to have committed a violation and the nature of the alleged violation;

b. Receiving the consent of the chairman to proceed with an investigation; and

c. Notifying the respondent in writing that he or she is under investigation and the nature of the investigation.

(2) Once commenced, such an investigation shall be handled in the same manner as investigations arising from complaints received from citizens.

VI. INVESTIGATION PROCEDURE

(1) Every document the Commission receives which purports to be a complaint, whether sworn or unsworn, shall, upon receipt, be stamped with the current date, then forwarded to the director.

(2) The director shall determine if the document meets the requirements of a valid complaint set forth in subparagraph A(3) of section V. If the director determines that the document does not constitute a valid complaint, he or she shall advise the complainant in writing specifically why the document fails to meet the requirements of a valid complaint.

(3) Upon a determination that a valid complaint has been received, the director shall cause an investigation to be commenced concerning the allegations of the complaint. As part of that investigation, the director shall request that the complainant submit any and all evidence he or she may have concerning the matter(s) alleged.

(4) Each such investigation must be assigned a case number and, thereafter, all records, documents, and other evidence collected must be maintained in the file to which such case number is assigned.

(5) The director shall notify the person accused that he or she is under investigation, and the nature of the investigation pursuant to Ark. Code Ann. § 7-6-218(b)(1)(B). If during the process of the investigation, evidence of other potential violations is discovered, the director shall notify the respondent of same in writing if an investigation of said potential violations is pursued. When notifying the respondent of an investigation, the director shall inform the respondent that he or she has a right to submit any and all evidence which may serve to rebut or mitigate the alleged violation(s).

(6) Staff shall present a preliminary report of its investigation, including a recommendation that the investigation either be continued or that the complaint be dismissed, to the Commission within sixty (60) days of the filing of the complaint, unless good cause be shown. After being presented the

preliminary report, the Commission shall decide whether to dismiss the complaint or direct the staff to complete the investigation. If the Commission directs staff to complete the investigation, the director shall notify the respondent in writing of this decision.

(7) If, during the course of the investigation, the Commission has reason to believe that any person filed or caused to be filed a complaint against another which he or she knows or should know contains a false material allegation, the Commission may forward all documents and other evidence of same to the appropriate law enforcement authority with such recommendations as it deems appropriate.

(8) In any case in which the Commission has dismissed a complaint, the respondent may request in writing that the Commission make a finding as to whether or not the complaint filed was frivolous (i.e., clearly lacking any basis in fact or law). In the event the Commission finds that the complaint was frivolous, the respondent may file a complaint seeking sanctions as provided in Ark. Code Ann. § 7-6-218(b)(4).

(9) The director or a staff attorney of the Commission may issue subpoenas for documents, persons, books or other records relevant to complaint investigations and along with directors of compliance, may take sworn statements and administer oaths in connection therewith. The director shall also be empowered to issue subpoenas on behalf of the respondent so as to ensure all relevant evidence may be obtained in any investigation. Any decision by the director to deny the respondent a requested subpoena shall be in consultation with the chairman of the Commission.

(10) When in the course of an investigation the Commission issues subpoenas to financial institutions for records or information regarding a person who is the subject of the investigation, the Commission shall provide the subject of the investigation with reasonable notice of the subpoenas and an opportunity to respond.

(11) All proceedings, records, and transcripts of any investigations or inquiries shall be kept confidential by the Commission, unless: (i) the respondent requests disclosure of documents relating to

investigation of the case; or (ii) the respondent requests a public hearing, see subparagraph (1) of section VII; or (iii) there is judicial review of a Commission decision pursuant to Ark. Code Ann. § 25-15-212, see subparagraph (3) of section X. Provided, however, that the Commission may, through its members or staff, disclose confidential information to proper law enforcement officials, agencies and bodies or as may be required to conduct its investigation. Moreover, thirty (30) days after any final adjudication in which the Commission makes a finding of a violation, all records relevant to the investigation and upon which the Commission based its decision, except working papers of the Commission and its staff, shall be open to public inspection.

(12) The Commission's staff shall not detail evidence of an ongoing investigation to the Commissioners after being directed to complete an investigation pursuant to subparagraph 6 of this section.

(13) After completing its investigation, staff shall prepare a final report of the investigation to be submitted to the Commission in connection with determining whether or not probable cause exists for a finding of a violation.

(14) The respondent and the complainant, if applicable, shall be notified in writing by the director of the date, time and place of the meeting at which the complaint will be considered for a probable cause determination. The respondent may choose to attend and/or be represented by counsel. The respondent may offer testimony and other evidence at the meeting at which the complaint is considered for a probable cause determination. When the matter comes before the Commission for a probable cause determination, it will be handled in confidential session and not be open to the public. At the meeting at which the complaint is considered for a probable cause determination, staff shall present a final report of its investigation to the Commissioners together with any other information staff deems appropriate.

(15) If the Commission finds that probable cause exists for a finding of a violation, the Commission shall issue a written Offer of Settlement to the respondent stating the finding(s) of the Commission and the proposed sanction(s). The issuance of an Offer of Settlement shall not mean that

the Commission has found that the respondent has committed a violation but, rather, that probable cause has been found to exist. If the Commission does not find probable cause, it shall dismiss the complaint.

(16) Any person who wishes to accept the Commission's Offer of Settlement shall do so in writing within ten (10) calendar days of receipt of the offer. The acceptance of an Offer of Settlement shall be the equivalent of a final adjudication in which the Commission made a finding of a violation and shall constitute final action for purposes of appeal under the Administrative Procedures Act. If accepted, the Offer of Settlement shall be deemed a public record.

(17) If the respondent neither accepts the Offer of Settlement nor requests a public hearing (in accordance with subparagraph (1) of section VII) within ten (10) calendar days from his or her receipt of the Offer of Settlement, then the Commission shall set the complaint for final adjudication hearing. Said hearing shall be conducted in the same manner as provided for in subparagraphs (4) through (11) of section VII, except that the final adjudication hearing shall be held in confidential session. The respondent and the complainant, if applicable, shall be given written notice of the date, time and place of the hearing pursuant to Ark. Code Ann. § 25-15-208(a)(2). Once a matter has been scheduled for a final adjudication hearing, the respondent, upon written request, shall be permitted to review the entire investigative file with the exception of working papers of the Commission and its staff. Following the final adjudication hearing, the Commission shall prepare a final order setting forth its findings of fact and conclusions of law based upon the evidence presented at the final adjudication hearing. The Commission shall not be bound by the terms of the Offer of Settlement in issuing the final order.

(18) All investigations commenced as a result of any complaint must be completed within one hundred fifty (150) days from the date of receipt of the complaint upon which the investigation is based, except that, if a public hearing or other hearing of adjudication is conducted, all action on the complaint by the Commission shall be completed within one hundred eighty (180) days. Provided, however, that such time shall be tolled during the pendency of any civil action involving those particular Commission proceedings.

(19) The Commission, in a document, shall advise the complainant and the respondent of the final action taken together with the reasons for the action. Said document shall be a public record.

(20) Nothing herein shall prohibit the Commission from informally disposing of a complaint by stipulation, settlement, consent order or default pursuant to Ark. Code Ann. § 25-15-208(b). Any settlement agreement entered into between the Commission and a respondent shall be deemed a public record.

VII. PUBLIC HEARING

(1) Any respondent who has received an Offer of Settlement from the Commission shall have the right to request a public hearing pursuant to Ark. Code Ann. § 7-6-218(b)(2). The request must be in writing and received by the Commission no later than ten (10) calendar days from the respondent's receipt of the Commission's Offer of Settlement.

(2) In the event the respondent requests a public hearing, the confidentiality requirements of Ark. Code Ann. § 7-6-218(b)(3)(B) shall not prohibit documents and other evidence gathered in the investigation from being made a part of the record at the hearing.

(3) Upon receiving a request for a public hearing, the director shall set a date, time and place for the hearing, and written notice shall be given to the respondent and complainant, if applicable, pursuant to Ark. Code Ann. § 25-15-208(a)(2). Once a matter has been scheduled for a public hearing, the respondent, upon written request, shall be permitted to review the entire investigative file with the exception of working papers of the Commission and its staff.

(4) The respondent shall have the right to appear in person before the Commission at the public hearing, to be represented by counsel, to present such documentary, oral or other evidence as he or she may have in support of his or her position, to cross-examine witnesses, and to present argument on all issues involved.

(5) The director or a staff attorney shall appear at the public hearing for purposes of presenting evidence concerning the alleged violation(s) of the respondent. Whichever of these individuals presents such evidence shall not be present while the Commissioners conduct their deliberations, nor shall said individual assist the Commission in preparation of the final order.

(6) The chairman of the Commission, or at his or her request one of the other Commissioners; shall preside at the public hearing, rule on motions and objections, and admit or deny evidence into the record.

(7) The Commission may appoint a hearing master who shall, at the conclusion of a public hearing, report his or her factual findings and recommend disposition to the Commission, which the Commission may accept, reject or modify.

(8) All testimony given at the public hearing will be given under oath. The Commission, or a master, shall have the power to take testimony, examine or cause to be examined any and all documents relevant to the inquiry, and generally be allowed to conduct the hearing, take proof and consider any information deemed relevant to the issues. The hearing will be recorded and a record maintained in accordance with Ark. Code Ann. § 25-15-208(a)(5) in the event judicial review is sought under Ark. Code Ann. § 25-15-212. The respondent, or his counsel, shall have the right to cross-examine any witness or rebut any document presented at the public hearing.

(9) The decision of the Commission, after a public hearing, shall be reduced to a final order signed by the chairman of the Commission, containing written findings of fact and conclusions of law, separately stated, in accordance with Ark. Code Ann. § 25-15-210(b)(2). Findings of fact shall be based exclusively on the evidence and on matters officially noticed. All such decisions of the Commission shall be made available for public inspection.

(10) The respondent shall be served either personally or by mail with a copy of any decision or order.

(11) Any final order of the Commission shall constitute an adjudication for purposes of judicial review under Ark. Code Ann. § 25-15-212.

VIII. RENDERING OF DECISION

(1) The Commission will review the evidence, testimony, documents and any other matters presented at the public hearing and thereafter render a decision. If the Commission finds a violation, the Commission will not be bound by the terms of its Offer of Settlement and shall do one or more of the following unless good cause be shown for the violation:

- a. Issue a final order in which the Commission finds that the respondent did not violate any laws under the jurisdiction of the Commission and that the complaint shall be dismissed;
- b. Issue a final order in which the Commission finds that there is sufficient evidence to show that a violation of law under the jurisdiction of the Commission occurred and that the respondent shall be issued a public LETTER OF CAUTION;
- c. Issue a final order in which the Commission finds that there is sufficient evidence to show that a violation of law under the jurisdiction of the Commission occurred and that the respondent shall be issued a public LETTER OF WARNING;
- d. Issue a final order in which the Commission finds that there is sufficient evidence to show that a violation of law under the jurisdiction of the Commission occurred and that the respondent shall be issued a public LETTER OF REPRIMAND;
- e. Report its findings and other evidence to the proper law enforcement authorities along with recommendations on criminal prosecution (in exercising this power, the Commission is not required to make a finding of a violation of the laws under its jurisdiction);

f. Impose a fine of not less than twenty-five dollars (\$25.00) nor more than one thousand dollars (\$1,000.00) for *each* negligent or intentional violation of law under the Commission's jurisdiction; and

g. Impose a late filing fee not exceeding twenty-five dollars (\$25.00) for each day a statement of organization or financial report remains unfiled by a ballot question committee or legislative question committee.

(2) In determining the type(s) of sanction(s) to impose, if any, after making a finding of a violation, the Commission may consider all of the surrounding circumstances including, but not limited to, the following:

- a. The seriousness of the violation;
- b. The presence or absence of any intention to conceal, deceive or mislead;
- c. Whether the violation was negligent or intentional;
- d. Whether the respondent demonstrated good faith by consulting the Commission staff or any other government agency;
- e. Whether the violation was isolated or part of a pattern;
- f. Whether the respondent has previously been found to have violated a law under the Commission's jurisdiction; and
- g. Whether the respondent, upon learning of a reporting violation, voluntarily filed amendments to provide full disclosure.
- h. Whether the respondent has shown good cause for the violation.

(3) In the event a fine is not paid in a timely fashion, the Commission shall be authorized to file suit in accordance with Ark. Code Ann. § 7-6-217(g)(8)(A) to obtain a judgment for the amount of said fine.

IX. DEFINITIONS OF PUBLIC LETTERS

(1) **Caution** is defined as: a written disposition of an allegation against any person which is advisory in nature, clearly giving notice to the respondent that his or her action or lack of action is a violation of law, and further advising the respondent not to engage in the same activity again. A caution may include a requirement that the respondent take corrective action as to the improper activity.

(2) **Warning** is defined as: a written disposition of an allegation against any person which is condemnatory in nature, expressing strong disapproval for the respondent's misconduct and expressing the view that the misconduct undermines public confidence in the integrity of the governmental process. A warning may include a requirement that the respondent take corrective action as to his or her misconduct, and may also include notice to any public official, public agency, professional association or other entity to which the respondent is a member or is employed.

(3) **Reprimand** is defined as: a written disposition of an allegation against any person which is condemnatory in nature, clearly giving notice to the respondent that his or her action or lack of action is a violation of the law and constitutes activity which is below the standard of conduct expected of persons under the jurisdiction of the Commission. The reprimand will require the respondent to refrain from engaging in the same activity again. A **reprimand** may include a requirement that the respondent take corrective action as to his or her misconduct and may also include notice to any public official, public agency, professional association or other entity to which the respondent is a member or is employed. A **reprimand** shall be considered more severe than a **caution** or **warning**.

X. JUDICIAL REVIEW

(1) Any person who has been sanctioned, fined and/or found to have violated a law under the Commission's jurisdiction shall have the right to file a petition for review, within thirty (30) days of service of the Commission's final order, with an appropriate Circuit Court pursuant to Ark. Code Ann. § 25-15-212.

(2) A person filing a petition for review must serve the Commission with a copy of same in accordance with the Arkansas Rules of Civil Procedure.

(3) Upon receipt of a petition for review, the Commission staff shall prepare and transmit the entire record of the proceeding to the reviewing court within thirty (30) days, or within such further time as the court may allow, but not exceeding an aggregate of ninety (90) days. By stipulation of the parties, the record may be shortened. Once prepared, the record shall be subject to public disclosure.

XI. FORMS AND INSTRUCTIONS

The Commission has prepared or utilizes the following forms and instructions: Citizen Complaint Form, Final Contribution and Expenditure Instructions-State and District, Contribution and Expenditure Instructions-State and District, Contribution and Expenditure Instructions-County and Municipal, Instructions for Statement of Financial Interest, Statement of Organization, Committee Financial Report, Lobbyist Registration Form, Lobbyist Activity Report, Statement of Financial Interest, Political Party Reporting Form, Carryover Fund Reporting Form, PAC Registration Form, PAC Quarterly Reporting Form, Contribution and Expenditure Form-State and District, Final Contribution and Expenditure Form-State and District, Contribution and Expenditure Form-County and Municipal, and Act 808 Form. Copies of same are set forth in the appendix hereto. Moreover, the Commission has participated in the publication of the following document(s) prepared by the State Board of Election Commissioners: Running for Office, A "Plain English" Handbook for Candidates.

APPENDIX

Citizen Complaint Form	A-1
Contribution & Expenditure Form – State and District	A-2
Contribution & Expenditure Instructions – State and District	A-9
Final Contribution & Expenditure Form – State and District	A-13
Final Contribution & Expenditure Instructions – State and District	A-21
Contribution & Expenditure Form – County and Municipal	A-26
Contribution & Expenditure Instructions – County and Municipal	A-34
Statement of Financial Interest	A-38
Instructions for Statement of Financial Interest	A-45
Statement of Organization	A-53
Committee Financial Report	A-55
Lobbyist Registration Form	A-60
Lobbyist Activity Report	A-62
Political Party Reporting Form	A-70
Carryover Fund Reporting Form	A-72
PAC Registration Form	A-74
PAC Quarterly Reporting Form	A-76
Act 808 Form	A-81

ARKANSAS ETHICS COMMISSION
910 WEST SECOND STREET, SUITE 100
LITTLE ROCK, AR 72201
Phone (501) 324-9600 Toll Free 1-800-422-7773

CITIZEN COMPLAINT FORM

The undersigned person files this complaint and requests that the Arkansas Ethics Commission conduct an investigation concerning the facts and actions detailed below for the purpose of determining whether or not there has been a violation of laws under the Commission's jurisdiction.

1. Identify the person you are complaining about:

Name: _____ Position or Title: _____
Address: _____ Phone: (Home) _____
_____ (Work) _____

2. State in your own words the *detailed* facts and the actions of the person named in section 1 which prompted you to make this complaint. The brief space provided below is not intended to limit your statement of facts. Please use the back of this form or additional sheets if necessary. Include relevant dates, times and the names and addresses of other persons whom you believe have knowledge of the facts:

3. Attach or make reference to any documents, materials, minutes, resolutions or other evidence which support your allegations.

State of Arkansas
County of _____

I swear or affirm, under penalty of perjury, that the facts set forth in this complaint are true and correct to the best of my knowledge, information and belief.

Subscribed and sworn to me a Notary Public
this the _____ day of _____ 19____.

Signature: _____

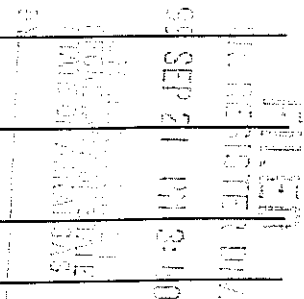
Notary Signature:

Print your name: _____

Mailing address: _____

My Commission Expires: _____

Phone: (Home) _____ (Work) _____



CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT

State and District Candidates Only

To be filed with: Sharon Priest, Secretary of State, State Capitol, Room 026, Little Rock, AR 72201, Phone (501) 682-5070, Fax (501) 682-3408

For additional information: Arkansas Ethics Commission, Post Office Box 1917, Little Rock, AR 72203-1917, Phone (501) 324-9600, Fax (501) 324-9606

Check if this report is an amendment

THIS FORM CANNOT BE USED FOR THE FINAL REPORT - ALL INFORMATION MUST BE COMPLETE. MUST FILE ORIGINAL AND ONE COPY WITH SECRETARY OF STATE AND ONE COPY WITH COUNTY CLERK OF COUNTY WHERE YOU RESIDE

1. Name of Candidate

Address

City, State and Zip Phone Number:

Office Sought District Number:

Does the candidate have a campaign committee? () Yes () No (Secretary of State File Stamp)

If yes, complete the following: Name of Chairperson/Treasurer:

Mailing Address: Phone Number:

2. Type of Election: (check one only) Year of Election: Preferential Primary General General Primary (run-off) Special

3. Type of Report: (check one only) This report covers what period? (/ /) through (/ /)

- 10 Day Pre-Election, First Quarter, Second Quarter, Third Quarter, Fourth Quarter, January Monthly, February Monthly, March Monthly, April Monthly, May Monthly, June Monthly, July Monthly, August Monthly, September Monthly, October Monthly, November Monthly, December Monthly

Table with 3 columns: SUMMARY, FOR REPORTING PERIOD, YEAR TO DATE. Rows include: 4. Balance of campaign funds at beginning of reporting period, 5. Interest earned on campaign account (if any), 6. Total Contributions (Carry forward total from line 19), 7. Total Expenditures (Carry forward total from line 28), 8. Balance of campaign funds at close of reporting period, 9. () NO ACTIVITY (check if you have not received or spent money during this reporting period)

I certify to the best of my knowledge and belief that the information disclosed in this report is a complete, true, and accurate financial statement of my (the candidate's) campaign contributions and expenditures.

(Signature of Candidate or Candidate's Representative)

Sworn to and subscribed before me, a Notary Public, in and for _____, County, Arkansas, on this _____ day of _____.

(Legible Notary Seal)

Notary Signature

My Commission Expires:

Note: If faxed, raised notary seal must be inked and the original must follow with ten (10) days.

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission REVISED 8/99

10. LOAN INFORMATION

Please Type or Print
Do not list loans previously reported

DATE	NAME AND ADDRESS OF LENDING INSTITUTION	GUARANTOR(S) IF ANY	AMOUNT
11. TOTAL LOANS DURING REPORTING PERIOD			\$

IMPORTANT

The limits on campaign contributions do not apply to a candidate's own contribution from personal funds or to personal loans made by financial institutions to the candidate and applied to his campaign. Any personal loan made by a financial institution to a candidate and applied to his campaign shall be reported in Section 10 and included in the amount of total contributions reported on line 19.

If a candidate desires to use or raise campaign funds to repay himself for personal funds that he contributed to the campaign, then he would need to report those personal funds as a loan in this section (Section 10). Such personal funds would be included in the amount of total contributions reported on line 19.

If a candidate does not desire to use or raise campaign funds to repay himself for personal funds that he contributed to the campaign, then those personal funds would not be reported in Section 10. Instead, they would be reported as a campaign contribution either in Section 16 or on line 18, depending upon the amount.

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission.

12. NONMONEY CONTRIBUTIONS

Estimated Fair Market Value If Over \$50

Does not include volunteer services by individuals

Date of receipt	Full Name and Address of Contributor	Description of nonmoney item	Value of nonmoney item	Cumulative Total From This Contributor
13. TOTAL ITEMIZED NONMONEY CONTRIBUTIONS				
14. TOTAL NONITEMIZED NONMONEY CONTRIBUTIONS				
15. TOTAL NONMONEY CONTRIBUTIONS				

IMPORTANT

In addition to monetary contributions, candidates are required to report the receipt of any nonmonetary ("in-kind") contributions. A candidate receives an in-kind contribution whenever a person provides him with an item or service without charge or for a charge that is less than the fair market value of the item or service in question.

The value of an in-kind contribution is the difference between the fair market value and the amount charged. In-kind contributions are addressed in greater detail in Sections 205 and 206 of the Commission's Rules on Campaign Finance & Disclosure.

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission.

16. ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print

Use Additional Copies Of This Page If Necessary

Date	Full Name And Mailing Address Of Contributor	Place Of Business/ Employer/Occupation	Amount Of Contribution	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
Subtotal of Contributions This Page				

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission.

ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print

Date	Full Name And Mailing Address Of Contributor	Place Of Business/ Employer/Occupation	Amount Of Contribution	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
17. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OVER \$50				
18. TOTAL NONITEMIZED MONETARY CONTRIBUTIONS				
19. TOTAL CONTRIBUTIONS THIS REPORT (Includes totals from lines 11, 17 and 18)				

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission.

**INSTRUCTIONS FOR COMPLETING THE
CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT**

STATE AND DISTRICT CANDIDATES

SECTION 1 - Indicate general candidate information and title of office sought. Include, if applicable, information concerning the candidate's campaign committee.

NOTE: State and District candidates are required to file the original and one copy of this report with the Secretary of State and one copy with the County Clerk of the county of their residence.

SECTION 2 - Check the box for the type of election and write in the year in which the election will be held.

SECTION 3 - Check the appropriate box to indicate which report you are completing and what dates are covered by the report. Please note that each type of monthly and quarterly report is included here. If you are completing a quarterly report, you should check the appropriate box in the first column. If it is a monthly report, columns 2-4 list each month. In addition, there is a box for the Pre-election report. Check this box if it is appropriate. Finally, please complete the blanks indicating the dates covered by this report.

SECTION 4 - This section, along with sections 5-9 seeks SUMMARY information regarding campaign finance activity during the reporting period and cumulative for the election. Section 4 seeks the surplus or debt amount of the campaign account as of the beginning of the reporting period which should normally reflect the ending balance on your last report, found in Section 8 on your last report. Your campaign often will reflect a surplus indicating an amount of cash on hand. However, campaigns may reflect a debt if prior expenditures have exceeded the amount of contributions received.

SECTION 5 - This reflects the amount of interest earned by your campaign account. Interest earned is not treated as a contribution, for reporting purposes, but is considered in reaching the total amount of the surplus or debt of your campaign account at the end of the reporting period. In the first column ("For Reporting Period") you list the amount of interest earned since the last reporting period. In the second column ("Year to Date"), you list the cumulative total of all interest earned by your campaign account for the election thus far.

SECTION 6 - This section reflects the total amount of contributions for your campaign. In the first column ("For Reporting Period") you list the amount of contributions, itemized and nonitemized, you received during this reporting period.¹ This figure is found in Section 19 and the number listed there should be transferred to Section 6.² In the second column ("Year to

¹ If a candidate receives a contribution designated for a different election other than the one involved with this reporting period, the contribution should be included in the subsequent cash on hand summary (sections 6 and 19) and referenced accordingly.

RECEIVED
STATE REGISTER
OFFICE OF THE
SECRETARY OF STATE
MONTGOMERY, ALABAMA

Date") you should list the cumulative total of all contributions to your campaign to date, which should be derived from adding the figure reported in the first column of this report to the figure reported in the second column in the last report. Non-money or "in-kind" contributions, as reflected in Sections 13-15, are not included in the figures for this section.

SECTION 7 - This section reflects the total amount of expenditures for your campaign. In the first column ("For Reporting Period") you list the amount of expenditures, itemized and nonitemized, you made during this reporting period. This figure is found in Section 28 and the number listed there should be transferred to Section 7. In the second column ("Year to Date") you should list the cumulative total of all expenditures to your campaign to date, which should be derived from adding the figure reported in the first column of this report to the figure reported in the second column in the last report.

SECTION 8 - This section should reflect the balance of your campaign account or "cash on hand" at the close of the reporting period. This figure is achieved by adding the figures in Sections 4, 5 and 6 and subtracting from the total the figure listed in Section 7.

SECTION 9 - This section should be checked only if you have not received any contributions, made any expenditures and otherwise had no campaign financial activity during this particular reporting period. If this is true, you should check this box, and only complete the items on page 1 of the Contribution and Expenditure report. The candidate should also only sign and file the front sheet of this report.

SECTION 10 - The limits on campaign contributions do not apply to candidate's own contribution from personal funds or to personal loans made by financial institutions to the candidate and applied to his campaign. Any personal loan made by a financial institution to a candidate and applied to his campaign shall be reported in Section 10 and included in the amount of total contributions reported on line 19.

If a candidate desires to use or raise campaign funds to repay himself for personal funds that he contributed to the campaign, then he would need to report those personal funds as a loan in this section (Section 10). Such personal funds would be included in the amount of total contributions reported on line 19.

If a candidate does not desire to use or raise campaign funds to repay himself for personal funds that he contributed to the campaign, then those personal funds would not be reported in Section 10. Instead, they would be reported as a campaign contribution either in Section 16 or on line 18, depending upon the amount.

SECTION 11 - This section reflects the total amount of loans you received during this reporting period.

SECTION 12 - This section is for itemization of non-money or "in-kind" contributions over \$50. Contributions for candidates for state or district office may not exceed \$1000 per election from any person. These limits apply to "in-kind" contributions as well. Examples of non-money or "in-kind" contributions are donations of equipment, furniture, office space, advertising or some other item of value. A reasonable market value should be listed. Noncompensated,

nonreimbursed, volunteer personal services or travel are **not** considered "in-kind" contributions.

SECTION 13 - Indicate the total amount of non-money or "in-kind" contributions listed in section 12.

SECTION 14 - Disclose the total amount of non-money or "in-kind" contributions of \$50 or less made during this reporting period. A non-money or "in-kind" contribution of \$50 or less from any person need not be itemized, but is considered a contribution for the particular individual and is credited against the maximum amount the person may contribute to the campaign.

SECTION 15 - Add the figures listed in sections 13 and 14 to get the total of non-money or "in-kind" contributions for this reporting period.

SECTION 16 - This section is for itemization of money or cash contributions over \$50. Contributions for candidates for state or district office may not exceed \$1000 per election from any person. These limits apply to all contributions. The law requires the candidate to list each **contributor, his/her address, place of business, employer, occupation** and the **date and amount** of each contribution during this reporting period. The candidate must also designate for **which election** the contribution was received by checking the applicable box in column 4. This page of the Contribution and Expenditure report should be photocopied and attached to the report when the report is filed if additional pages are necessary to report all of the contributions received.

SECTION 17 - This section should reflect the total of the itemized contributions listed in section 16.

SECTION 18 - Disclose the total amount of monetary contributions of \$50 or less received during this reporting period. A monetary contribution of \$50 or less from any person need not be itemized, but is considered a contribution for the particular individual and is credited against the maximum amount the person may contribute to the campaign. Once a contributor exceeds the \$50 threshold, the contribution must be itemized.

SECTION 19 - This section reflects the totals from sections 11 (loans), 17 (itemized contributions) and 18 (nonitemized contributions). While a non-money contribution is considered as a contribution from the contributor and applies toward that person's maximum limit, it need not be included in this line as section 19 reflects the monetary amount of contributions which is then included in the computation of the "cash on hand" or surplus or debt balance of the campaign account. This figure should also be reflected in section 6 on the front page of this report.

SECTION 20 - This section requires disclosure of all expenditures by category. The expenditures included here include both the itemized expenditures, listed in section 24 and the non-itemized expenditures which are included within the total found in section 26. The total amount applicable to each category should be included. If an expenditure is made which does not fall within one of the listed categories, the candidate should include and list the expenditure as "Other" and provide a description in the appropriate space. Expenditures for salaries and wages of campaign workers should be totaled and listed in the applicable category here. Additionally,

expenditures for any paid campaign workers must be itemized in section 22 below.

SECTION 21 - This section should reflect the total of the expenditures as categorized in section 20. The total should reflect the combination of the figures in sections 25, 26 and 27 and should be the same as the figure in section 28.

SECTION 22 - The law also requires each candidate to list **any person paid to work on a candidate's campaign**. This is true whether the person is a full-time employee or a part-time employee and whether the amount paid exceeds \$100 or not. The candidate should list the name of each person paid to work on the campaign along with the amount paid.

SECTION 23 - This section should reflect the total amount paid during the reporting period for all campaign workers. This figure should also be reflected in section 27.

SECTION 24 - This section is for itemization of expenditures over \$100 made during the reporting period. For each expenditure over \$100, the candidate must disclose **the date and amount** of the expenditure made during this reporting period, and the name and address of any person including the candidate, to whom the expenditure was made. This page of the Contribution and Expenditure report should be photocopied and attached to the report when the report is filed if additional pages are necessary to report all of the expenditures made.

SECTION 25 - This section should reflect the total of the itemized expenditures listed in section 24.

SECTION 26 - Disclose the total amount of expenditures of \$100 or less made during this reporting period. An expenditure of \$100 or less need not be itemized, but must be included in the total amount of expenditures made during the reporting period.

SECTION 27 - This section should reflect the total amount paid during the reporting period for all campaign workers. This figure should reflect the amount listed in section 23.

SECTION 28 - This section reflects the totals from sections 25 (itemized expenditures), 26 (nonitemized expenditures) and 27 (paid campaign workers). This figure should also be the same as the one reflected in section 7 on the front page of the report and section 21 on the previous page.

FINAL CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT

For State and District Candidates Only

To be filed with:
 Sharon Priest, Secretary of State
 State Capitol, Room 026
 Little Rock, AR 72201
 Phone (501) 682-5070
 Fax (501) 682-3408

Year of Election _____

Check if this report is an amendment

For additional information:
 Arkansas Ethics Commission
 Post Office Box 1917
 Little Rock, AR 72203-1917
 Phone (501) 324-9600
 Fax (501) 324-9606

ALL INFORMATION IN THIS REPORT MUST BE COMPLETE

MUST FILE ORIGINAL AND ONE COPY WITH SECRETARY OF STATE AND ONE COPY WITH COUNTY CLERK OF COUNTY WHERE YOU RESIDE

a. Name of Candidate _____

b. Address _____

c. City, State and Zip _____ **Phone Number** _____

d. Office Sought _____ **District Number:** _____

e. Does the candidate have a campaign committee? Yes No
 If yes, complete the following:

f. Name of Chairperson/Treasurer: _____

g. Mailing Address _____ **Phone Number** _____

h. Type of Election: (check one only)
 Preferential Primary General Primary (Run-Off) General Special

i. This report covers what period? (/ /) through (/ /)

- j. Method by which surplus campaign funds were disposed of:**
- Treasurer of State (for benefit of General Revenue Fund Account of the State Apportionment Fund)
 - An organized political party or a political party caucus of the Arkansas General Assembly, the Senate or the House of Representatives
 - Contributors to the candidate's campaign
 - A nonprofit organization that is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code

SUMMARY	CURRENT PERIOD	YEAR TO DATE
1. Surplus or debt at beginning of reporting period		
2. Interest earned on campaign account (if any)		
3. Total Contributions (carry forward total from line 21)		
4. Total Expenditures (carry forward total from line 30)		
5. Carryover Funds or Debt at close of election (use brackets to indicate debt)		
6. () NO ACTIVITY (check if you have not received or spent money during this reporting period)		

I certify to the best of my knowledge and belief that the information disclosed in this report is a complete, true, and accurate financial statement of my (the candidate's) campaign contributions and expenditures.

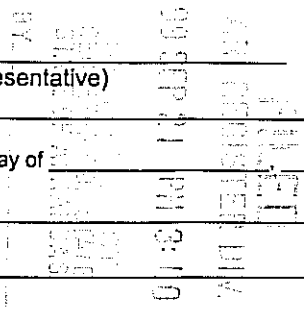
 (Signature of Candidate or Candidate's Representative)

Subscribed before me, a Notary Public, in and for _____, County, Arkansas, on this _____ day of _____.

(Legible Notary Seal)

Notary Signature _____

My Commission Expires: _____



Note: If faxed, raised notary seal must be inked and the original must follow with ten (10) days.

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission.

10. LOAN INFORMATION

Please Type or Print
Do not list loans previously reported

DATE	NAME AND ADDRESS OF LENDING INSTITUTION	GUARANTOR(S), IF ANY	AMOUNT OF LOAN
11. TOTAL LOANS DURING REPORTING PERIOD			\$

IMPORTANT

The limits on campaign contributions do not apply to a candidate's own contribution from personal funds or to personal loans made by financial institutions to the candidate and applied to his campaign. Any personal loan made by a financial institution to a candidate and applied to his campaign shall be reported in Section 10 and included in the amount of total contributions reported on line 19.

If a candidate desires to use or raise campaign funds to repay himself for personal funds that he contributed to the campaign, then he would need to report those personal funds as a loan in this section (Section 10). Such personal funds would be included in the amount of total contributions reported on line 19.

If a candidate does not desire to use or raise campaign contributions to repay himself for personal funds that he contributed to the campaign, then those personal funds would not be reported in Section 10. Instead, they would be reported as a campaign contribution either in Section 16 or on line 18, depending upon the amount.

If a candidate has unpaid loans at the time of the general election, the source, description and amount of each such loan should be itemized in Section 29 of the Final Report. Candidates ending their campaign in debt are permitted to raise funds to retire the debt subject to the restrictions contained in Ark. Code Ann. § 7-6-219.

12. NONMONEY CONTRIBUTIONS

Estimated Fair Market Value If Over \$50
(Does not include volunteer services by individuals)

Date	Full Name, Mailing Address and Zip Code of Contributor	Employer/Occupation	Total	Cumulative Total From This Contributor
13. TOTAL ITEMIZED NONMONEY CONTRIBUTIONS				
14. TOTAL NONITEMIZED NONMONEY CONTRIBUTIONS				
15. TOTAL NONMONEY CONTRIBUTIONS				

IMPORTANT

In addition to monetary contributions, candidates are required to report the receipt of any nonmonetary ("in-kind") contributions. A candidate receives an in-kind contribution whenever a person provides him with an item or service without charge or for a charge that is less than the fair market value of the item or service in question.

The value of an in-kind contribution is the difference between the fair market value and the amount charged. In-kind contributions are addressed in greater detail in Sections 205 and 206 of the Commission's Rules on Campaign Finance & Disclosure.

16. ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print
(Use copies of this page as needed)

Date	Full Name and Mailing Address of Contributor	Employer/Occupation	Amount of Contribution	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
Subtotal of Contributions This Page				

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission.

17. ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print

Date	Full Name and Mailing Address of Contributor	Employer/Occupation	Total This Period	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
8. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OVER \$50				
9. TOTAL NONITEMIZED MONETARY CONTRIBUTIONS				
10. TOTAL MONETARY CONTRIBUTIONS (Includes lines 16 and 17)				
11. TOTAL CONTRIBUTIONS THIS REPORT (Includes Lines 10 and 18)				

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission.

**INSTRUCTIONS FOR COMPLETING THE
FINAL CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT**

STATE AND DISTRICT CANDIDATES

SECTION 1 - Indicate general candidate information and title of office sought. Include, if applicable, information concerning the candidate's campaign committee. At the top of this report, please indicate for which election this final report is applicable, i.e. preferential primary, general primary (run-off), general or special election. The candidate should indicate the year of the election on the top of the report. Also, if you are completing an amended final report, the appropriate box at the top of the page should be checked. The law requires that the report be signed under penalty of perjury. The place for the notarized signature is at the bottom of the front page of the report.

NOTE: State and District candidates are required to file the original and a copy of this report with the Secretary of State and a copy with the County Clerk of the county of their residence.

SECTION 2 - Check the box for the type of election and write in the year in which the election will be held.

SECTION 3- This section only applies to the primary or runoff elections if the candidate loses either of these elections and has concluded his campaign with a surplus of funds. This section otherwise applies to all candidates who run in the general election and end the campaign with a surplus of funds.

This section discloses how surplus campaign funds were disposed of. "Surplus campaign funds" are defined as the balance of campaign funds over expenses incurred as of the day of the election except for carryover funds and any funds required to reimburse the candidate for personal funds contributed to the campaign or to repay loans to the candidate and applied to the campaign.

"Carryover funds" refers to the amount of campaign funds retained from the last election by the candidate for future use but not to exceed the annual salary for the office sought. The amount of carryover funds retained, if any, are to be reflected in section 7 of this report.

The law requires candidates to disburse the campaign surplus within thirty (30) days following the end of the month in which the election is held and to disclose how the surplus campaign funds were disbursed. The funds may be disbursed in any one or more of the four methods listed on this report. The candidate should check each box which is applicable.

SECTION 4 - This section, along with sections 5-9 seeks SUMMARY information regarding campaign finance activity during the reporting period and cumulative for the election. Section 4 seeks the surplus or debt amount of the campaign account as of the beginning of the reporting period which should normally reflect the ending balance on your last report, found in Section 8 on your last report. Your campaign often will reflect a surplus indicating an amount of cash on hand. However, campaigns may reflect a debt if the prior expenditures have exceeded the

Revised 8/99

amount of contributions received.

SECTION 5 - This reflects the interest earned by your campaign account. In the first column ("Current Period") you list the amount of interest earned since the last reporting period. In the second column ("Year to Date"), you list the cumulative total of all interest earned by your campaign account for the election thus far.

SECTION 6 - This section reflects the total amount of contributions for your campaign. In the first column ("Current Period") you list the amount of contributions, itemized and nonitemized, you received during this reporting period. This figure is found in Section 21 of the Final Report and the number listed there should be transferred to Section 6. In the second column ("Year to Date") you should list the cumulative total of all contributions to your campaign to date, which should be derived from adding the figure reported in the first column of this report to the figure reported in the second column in the last report. Non-money or "in-kind" contributions, as reflected in Sections 12-14, are not included in the figures for this section.

SECTION 7 - This section reflects the total amount of expenditures for your campaign. In the first column ("Current Period") you list the amount of expenditures, itemized and nonitemized, you made during this reporting period. This figure is found in section 30 and the number listed there should be transferred to section 7. In the second column ("Year to Date") you should list the cumulative total of all expenditures to your campaign to date, which should be derived from adding the figure reported in the first column of this report to the figure reported in the second column in the last report.

SECTION 8 - This section reflects the status of the campaign account after all contributions and expenditures, including the disbursement of any surplus funds. If a candidate has carryover funds remaining in his/her campaign account¹ for use as officeholder expenses or for future campaign purposes, the amount of the carryover funds should be indicated in the second column in section 8. If, instead of a surplus, the campaign account has closed with a debt, the candidate must reflect the amount of the debt in the second column in section 8. The amount noted as debt should be in brackets, i.e. "\$1200". The outstanding items which make up this debt figure should be listed in section 31 and the total amount of the debts reflected in section 32.

SECTION 9 - This section should be checked only if you have not received any contributions, made any expenditures and otherwise had no campaign financial activity during this particular reporting period. If this is true, you should check this box, and only complete the items on page 1 of the Contribution and Expenditure report. The candidate should also sign and file only the front sheet of this report.

SECTION 10 - The limits on campaign contributions do not apply to candidate's own contribution from personal funds or to personal loans made by financial institutions to a candidate and applied to his campaign. Any personal loan made by a financial institution to a candidate and applied to his campaign shall be reported in Section 10 and included in the amount of total contributions reported on line 19.

¹ See the instructions for section 3, herein, for a definition of "carryover funds."

If a candidate desires to use or raise campaign funds to repay himself for personal funds that he contributed to the campaign, then he would need to report those personal funds as a loan in this section (Section 10). Such personal funds would be included in the amount of total contributions reported on line 19.

If a candidate does not desire to use or raise campaign contributions to repay himself for personal funds that he contributed to the campaign, then those personal funds would not be reported in Section 10. Instead, they would be reported as a campaign contribution either in Section 16 or on line 18, depending on the amount.

If a candidate has unpaid loans at the time of the general election, the source, description and amount of each such loan should be itemized in Section 29 of the Final Report. Candidates ending their campaign in debt are permitted to raise funds to retire the debt subject to the restrictions contained in Ark. Code Ann. § 7-6-219.

SECTION 11 - Indicate the total amount of loans you received during this reporting period.

SECTION 12 - This section is for itemization of non-money or "in-kind" contributions over \$50. Contributions for candidates for state or district office may not exceed \$1000 per election from any person. These limits apply to "in-kind" contributions as well. Examples of non-money or "in-kind" contributions are donations of equipment, furniture, office space, advertising or some other item of value. A reasonable market value should be listed. Noncompensated, nonreimbursed, volunteer personal services or travel are **not** considered "in-kind" contributions.

SECTION 13 - Indicate the total amount of non-money or "in-kind" contributions listed in section 12.

SECTION 14 - Disclose the total amount of non-money or "in-kind" contributions of \$50 or less made during this reporting period. A non-money or "in-kind" contribution of \$50 or less from any person need not be itemized, but is considered a contribution for the particular individual and is credited against the maximum amount the person may contribute to the campaign.

SECTION 15 - Add the figures listed in sections 13 and 14 to get the total of non-money or "in-kind" contributions for this reporting period.

SECTIONS 16 and 17- These sections are for itemization of money or cash contributions over \$50. Contributions for candidates for state or district office may not exceed \$1000 per election from any person. These limits apply to all contributions. The law requires the candidate to list each **contributor**, his/her **address**, **place of business**, **employer**, **occupation** and the **date** and **amount** of each contribution during this reporting period. The candidate must also designate for **which election** the contribution was received by checking the applicable box in column 4. This page of the Contribution and Expenditure report should be photocopied and attached to the report when the report is filed if additional pages are necessary to report all of the contributions received.

SECTION 18 - This section should reflect the total of the itemized contributions listed in

sections 16 and 17.

SECTION 19 - Disclose the total amount of monetary contributions of \$50 or less received during this reporting period. A monetary contribution of \$50 or less from any person need not be itemized, but is considered a contribution for the particular individual and is credited against the maximum amount the person may contribute to the campaign. Once a contributor exceeds the \$50 threshold, the contribution must be itemized.

SECTION 20 - This section reflects the totals from sections 11 (loans), 18 (itemized contributions) and 19 (nonitemized contributions). While a non-money contribution is considered as a contribution from the contributor and applies toward that person's maximum limit, it need not be included in this line because section 20 reflects the monetary amount of contributions which is then included in the computation of the "cash on hand" or surplus or debt balance of the campaign account. This figure should also be reflected in section 6 on the front page of this report.

SECTION 21 - This section reflects the totals from sections 11 (loans), 18 (itemized contributions) and 19 (nonitemized contributions). While a non-money contribution is considered a contribution from the contributor and applies toward that person's maximum limit, it need not be included in this line because section 21 reflects the monetary amount of contributions which is then included in the computation of the "cash on hand" or surplus or debt balance of the campaign account. This figure should also be reflected in section 6 on the front page of this report.

SECTION 22 - This section requires disclosure of all expenditures by category, made during the reporting period. The expenditures included here include both the itemized expenditures listed in section 26 and the non-itemized expenditures, which comprise the total in section 28. The total amount applicable to each category should be included. If an expenditure is made which does not fall within one of the listed categories, the candidate should include and list the expenditure as "Other" and provide a description in the appropriate space. Expenditures for salaries and wages of campaign workers should be totaled and listed in the applicable category here. Additionally, expenditures for any paid campaign workers must be itemized in section 24 below.

SECTION 23 - This section should reflect the total of the expenditures as categorized in section 22. The total should reflect the combination of the figures in sections 25, 27 and 28 and should be the same as the figure in section 30.

SECTION 24 - The law also requires each candidate to list **any person paid to work on a candidate's campaign**. This is true whether the person is a full-time employee or a part-time employee and whether the amount paid exceeds \$100 or not. The candidate should list the name of each person paid to work on the campaign during the reporting period along with the amount paid. The total of the amounts should be reflected in section 25.

SECTION 25 - This section should reflect the total amount paid during the reporting period for all campaign workers. This figure should also be reflected in section 29.

SECTION 26 - This section is for itemization of expenditures over \$100 made during the

reporting period. For each expenditure over \$100, the candidate must disclose the **date** and **amount** of the expenditure made during this reporting period and the name and address of any person, including the candidate, to whom the expenditure was made. This page of the Contribution and Expenditure report should be photocopied and attached to the report when the report is filed if additional pages are necessary to report all of the expenditures made.

SECTION 27 - This section should reflect the total of the itemized expenditures listed in section 26.

SECTION 28 - Disclose the total amount of expenditures of \$100 or less made during this reporting period. An expenditure of \$100 or less need not be itemized, but must be included in the total amount of expenditures made during the reporting period.

SECTION 29 - This section should reflect the total amount paid during the reporting period for all campaign workers. This figure is taken from section 25.

SECTION 30 - This section reflects the totals from sections 27 (itemized expenditures), 28 (nonitemized expenditures) and 29 (paid employees). This figure should also be the same as the one reflected in section 7 on the front page of the report and section 23 on the previous page.

SECTION 31 - This section should only be completed if the candidate has ended his/her campaign in debt and the debt is reflected in section 8 on the front page of this report. If the campaign account has closed with a debt, the candidate must detail each item, which constitutes the campaign debt. For each creditor, the candidate should list the **name and address of the creditor**, the **description of the debt** (e.g. "consultant services") and the **balance of the debt** as of the time of filing the final report. This page of the Contribution and Expenditure report should be photocopied and attached to the report when the report is filed if additional pages are necessary to report all of the campaign debt.

SECTION 32 - This section reflects the total from each debt reflected in section 31. This figure should also be the same as the one reflected in section 8 on the front page of the report.

CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT

For County, Municipal and School Board Candidates

Check if this report is an amendment

This report should be filed with the County Clerk in the county in which the election is held

1. Name of Candidate _____

Address _____

City, State and Zip _____ Phone Number: _____

Office Sought	District Number	(Clerk's File Stamp)
Does the candidate have a campaign committee? () Yes () No		
If yes, complete the following:		
Name of Chairperson/Treasurer: _____		

Does the candidate have a campaign committee? () Yes () No

If yes, complete the following:

Name of Chairperson/Treasurer: _____

Mailing Address	Phone Number:
-----------------	---------------

2. Type of Election: (check only one) Year of Election _____

Primary Primary Runoff General General Runoff Special

3. Type of Report: (check one) This report covers what period? (/ /) through (/ /)

Pre-election report

Final report (check method in which surplus campaign funds were disposed of)

Treasurer of State (for benefit of General Revenue Fund Account of the State Apportionment Fund)

An organized political party or a political party caucus of the Arkansas General Assembly, the Senate or the House of Representatives

Contributors to the candidate's campaign

A nonprofit organization that is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code

Supplemental Report

SUMMARY	FOR REPORTING PERIOD	YEAR TO DATE
4. Balance of campaign funds at beginning of reporting period		
5. Interest earned on campaign account (if any)		
6. Total Contributions (includes totals from lines 11, 17 and 18)		
7. Total Expenditures (includes totals from lines 26, 27 and 28)		
8. Balance of campaign funds at close of reporting period		
9. () NO ACTIVITY (check if you have not received or spent money during this reporting period)		

I certify to the best of my knowledge and belief that the information disclosed in this report is a complete, true, and accurate financial statement of my (the candidate's) campaign contributions and expenditures.

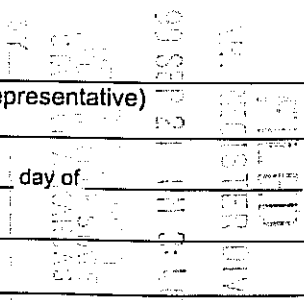
(Signature of Candidate or Candidate's Representative)

Sworn to and subscribed before me, a Notary Public, in and for _____, County, Arkansas, on this _____ day of _____.

(Legible Notary Seal)

Notary Signature

My Commission Expires: _____



Note: If faxed, raised notary seal must be inked and the original must follow with ten (10) days.

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission.

10. LOAN INFORMATION

Please Type or Print
Do not list loans previously reported

DATE	NAME AND ADDRESS OF LENDING INSTITUTION	GUARANTOR(S) IF ANY	AMOUNT
11. TOTAL LOANS DURING REPORTING PERIOD			\$

IMPORTANT

The limits on campaign contributions do not apply to a candidate's own contribution from personal funds or to personal loans made by financial institutions to the candidate and applied to his campaign. Any personal loan made by a financial institution to a candidate and applied to his campaign shall be reported in Section 10 and included in the amount of total contributions reported on line 19.

If a candidate desires to use or raise campaign funds to repay himself for personal funds that he contributed to the campaign, then he would need to report those personal funds as a loan in Section 10. Such personal funds would be included in the amount of total contributions reported on line 19.

If a candidate does not desire to use or raise campaign funds to repay himself for personal funds that he contributed to the campaign, then those personal funds would not be reported in Section 10. Instead, they would be reported as a campaign contribution either in Section 16 or on line 18, depending upon the amount.

If a candidate has unpaid loans at the time of the general election, the source, description and amount of each such loan should be itemized in Section 29 of the Final Report. Candidates ending their campaign in debt are permitted to raise funds to retire the debt subject to the restrictions contained in Ark. Code Ann. § 7-6-219.

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission.

12. NONMONEY CONTRIBUTIONS

Estimated Fair Market Value If Over \$50
Does not include volunteer services by individuals

Date of receipt	Full Name and Address of Contributor	Description of nonmoney item	Value of nonmoney item	Cumulative Total From This Contributor
13. TOTAL ITEMIZED NONMONEY CONTRIBUTIONS				
14. TOTAL NONITEMIZED NONMONEY CONTRIBUTIONS				
15. TOTAL NONMONEY CONTRIBUTIONS				

IMPORTANT

In addition to monetary contributions, candidates are required to report the receipt of any nonmonetary ("in-kind") contributions. A candidate receives an in-kind contribution whenever a person provides him with an item or service without charge or for a charge that is less than the fair market value of the item or service in question.

The value of an in-kind contribution is the difference between the fair market value and the amount charged. In-kind contributions are addressed in greater detail in Sections 205 and 206 of the Commission's Rules on Campaign Finance & Disclosure.

16. ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print
(Use copies of this page as needed)

Date	Full Name and Mailing Address of Contributor	Place Of Business Employer/Occupation	Amount of Contribution	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
Subtotal of Contributions This Page				

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission.

ITEMIZED MONETARY CONTRIBUTIONS OVER \$50

Please Type or Print

Date	Full Name and Mailing Address of Contributor	Place Of Business Employer/Occupation	Amount of Contribution	Cumulative Total From This Contributor
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
			<input type="checkbox"/> Primary <input type="checkbox"/> Run-Off <input type="checkbox"/> General <input type="checkbox"/> Debt	
17. TOTAL ITEMIZED MONETARY CONTRIBUTIONS OVER \$50				
18. TOTAL NONITEMIZED MONETARY CONTRIBUTIONS				
19. TOTAL CONTRIBUTIONS THIS REPORT (includes totals from lines 11, 17 and 18)				

The law provides for a maximum penalty of \$1,000 per violation and/or imprisonment for not more than one year for any person who knowingly or willfully fails to comply with the provisions of A.C.A. §§ 7-6-201 through 7-6-219. This report constitutes a public record. This form has been approved by the Arkansas Ethics Commission.

**INSTRUCTIONS FOR COMPLETING THE
CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORT**

COUNTY , MUNICIPAL AND SCHOOL BOARD CANDIDATES

SECTION 1 - Indicate general candidate information and title of office sought. Include, if applicable, information concerning the candidate's campaign committee.

NOTE: County, Municipal and School Board candidates are required to file a copy of this report with the County Clerk of the county in which the election is held.

SECTION 2 - Check the box for the type of election and write in the year in which the election will be held.

SECTION 3 - Check the appropriate box to indicate which report you are completing and what dates are covered by the report. Please note each type of report included here. Also, please complete the blanks indicating the dates covered by this report. When filing a final report, a candidate must indicate the method in which surplus funds are disposed of.

SECTION 4 - This section, along with sections 5-9 seeks SUMMARY information regarding campaign finance activity during the reporting period and cumulative for the election. Section 4 seeks the surplus or debt amount of the campaign account as of the beginning of the reporting period which should normally reflect the ending balance on your last report, found in Section 8 on your last report. Your campaign often will reflect a surplus indicating an amount of cash on hand. However, campaigns may reflect a debt if prior expenditures have exceeded the amount of contributions received.

SECTION 5 - This reflects the amount of interest earned by your campaign account. Interest earned is not treated as a contribution, for reporting purposes, but is considered in reaching the total amount of the surplus or debt of your campaign account at the end of the reporting period. In the first column ("For Reporting Period") you list the amount of interest earned since the last reporting period. In the second column ("Year to Date"), you list the cumulative total of all interest earned by your campaign account for the election thus far.

SECTION 6 - This section reflects the total amount of contributions for your campaign. In the first column ("For Reporting Period") you list the amount of contributions, itemized and nonitemized, you received during this reporting period.¹ This figure is found in Section 19 and the number listed there should be transferred to Section 6.² In the second column ("Year to Date") you should list the cumulative total of all contributions to your campaign to date, which should be derived from adding the figure reported in the first column of this report to the figure reported in the second column in the last report. Non-money or "in-kind" contributions, as reflected in Sections 13-15, are not included in the figures for this section.

¹ Contributions reported for any reporting period and included in the cash on hand summary in sections 4-9, should not include contributions received but designated for a different election. These contributions should be included in the cash on hand summary in the appropriate subsequent report.

² If a candidate receives a contribution designated for a different election other than the one involved with this reporting period, the contribution should be included in the subsequent cash on hand summary (sections 6 and 19) and referenced accordingly.

SECTION 7 - This section reflects the total amount of expenditures for your campaign. In the first column ("For Reporting Period") you list the amount of expenditures, itemized and nonitemized, you made during this reporting period. This figure is found in Section 28 and the number listed there should be transferred to Section 7. In the second column ("Year to Date") you should list the cumulative total of all expenditures to your campaign to date, which should be derived from adding the figure reported in the first column of this report to the figure reported in the second column in the last report.

SECTION 8 - This section should reflect the balance of your campaign account or "cash on hand" at the close of the reporting period. This figure is achieved by adding the figures in Sections 4, 5 and 6 and subtracting from the total the figure listed in Section 7.

SECTION 9 - This section should be checked only if you have not received any contributions, made any expenditures and otherwise had no campaign financial activity during this particular reporting period. If this is true, you should check this box, and only complete the items on page 1 of the Contribution and Expenditure report. The candidate should also only sign and file the front sheet of this report.

SECTION 10 - The limits on campaign contributions do not apply to a candidate's own contribution from personal funds or to loans made by financial institutions to the candidate and applied to his campaign. Any personal loan made by a financial institution to a candidate and applied to his campaign shall be reported in Section 10 and included in the amount of total contributions reported on line 19.

If a candidate desires to use or raise campaign funds to repay himself for personal funds that he contributed to the campaign, then he would need to report those personal funds as a loan in Section 10. Such personal funds would be included in the amount of total contributions reported on line 19.

If a candidate does not desire to use or raise campaign funds to repay himself for personal funds that he contributed to the campaign, then those personal funds would not be reported in Section 10. Instead, they would be reported as a campaign contribution either in Section 16 or on line 18, depending upon the amount.

If a candidate has unpaid loans at the time of the general election, the source, description and amount of each such loan should be itemized in Section 29 of the Final Report. Candidates ending their campaign in debt are permitted to raise funds to retire the debt subject to the restrictions contained in Ark. Code Ann. § 7-6-219.

SECTION 11 - This section reflects the total amount of loans you received during this reporting period.

SECTION 12 - This section is for itemization of non-money or "in-kind" contributions over \$50. These limits apply to "in-kind" contributions as well. Examples of non-money or "in-kind" contributions are donations of equipment, furniture, office space, advertising or some other item of value. A reasonable market value should be listed. Noncompensated, nonreimbursed, volunteer personal services or travel are **not** considered "in-kind" contributions.

SECTION 13 - Indicate the total amount of non-money or "in-kind" contributions listed in section 12.

SECTION 14 - Disclose the total amount of non-money or "in-kind" contributions of \$50 or less made during this reporting period. A non-money or "in-kind" contribution of \$50 or less from any person need not be itemized, but is considered a contribution for the particular individual and is credited against the maximum amount the person may contribute to the campaign.

SECTION 15 - Add the figures listed in sections 13 and 14 to get the total of non-money or "in-kind" contributions for this reporting period.

SECTION 16 - This section is for itemization of money or cash contributions over \$50. The law requires the candidate to list each **contributor**, **his/her address**, **place of business**, **employer**, **occupation** and the **date** and **amount** of each contribution during this reporting period. The candidate must also designate for **which election** the contribution was received by checking the applicable box in column 4. This page of the Contribution and Expenditure report should be photocopied and attached to the report when the report is filed if additional pages are necessary to report all of the contributions received.

SECTION 17 - This section should reflect the total of the itemized contributions listed in section 16.

SECTION 18 - Disclose the total amount of monetary contributions of \$50 or less received during this reporting period. A monetary contribution of \$50 or less from any person need not be itemized, but is considered a contribution for the particular individual and is credited against the maximum amount the person may contribute to the campaign. Once a contributor exceeds the \$50 threshold, the contribution must be itemized.

SECTION 19 - This section reflects the totals from sections 11 (loans), 17 (itemized contributions) and 18 (nonitemized contributions). While a non-money contribution is considered as a contribution from the contributor and applies toward that person's maximum limit, it need not be included in this line as section 19 reflects the monetary amount of contributions which is then included in the computation of the "cash on hand" or surplus or debt balance of the campaign account. This figure should also be reflected in section 6 on the front page of this report.

SECTION 20 - This section requires disclosure of all expenditures by category. The expenditures included here include both the itemized expenditures, listed in section 24, and the non-itemized expenditures which are included within the total found in section 26. The total amount applicable to each category should be included. If an expenditure is made which does not fall within one of the listed categories, the candidate should include and list the expenditure as "Other" and provide a description in the appropriate space. Expenditures for salaries and wages of campaign workers should be totaled and listed in the applicable category here. Additionally, expenditures for any paid campaign workers must be itemized in section 22 below.

SECTION 21 - This section should reflect the total of the expenditures as categorized in section 20. The total should reflect the combination of the figures in sections 25, 26 and 27 and should be the same as the figure in section 28.

SECTION 22 - The law also requires each candidate to list **any person paid to work on a**

candidate's campaign. This is true whether the person is a full-time employee or a part-time employee and whether the amount paid exceeds \$100 or not. The candidate should list the name of each person paid to work on the campaign along with the amount paid

SECTION 23 - This section should reflect the total amount paid during the reporting period for all campaign workers. This figure should also be reflected in section 27.

SECTION 24 - This section is for itemization of expenditures over \$100 made during the reporting period. For each expenditure over \$100, the candidate must disclose the **date** and **amount** of the expenditure made during this reporting period, and the name and address of any person, including the candidate, to whom the expenditure was made. This page of the Contribution and Expenditure report should be photocopied and attached to the report when the report is filed if additional pages are necessary to report all of the expenditures made.

SECTION 25 - This section should reflect the total of the itemized expenditures listed in section 24.

SECTION 26 - Disclose the total amount of expenditures of \$100 or less made during this reporting period. An expenditure of \$100 or less need not be itemized, but must be included in the total amount of expenditures made during the reporting period.

SECTION 27 - This section should reflect the total amount paid during the reporting period for all campaign workers. This figure should reflect the amount listed in section 23.

SECTION 28 - This section reflects the totals from sections 25 (itemized expenditures), 26 (nonitemized expenditures) and 27 (paid campaign workers). This figure should also be the same as the one reflected in section 7 on the front page of the report and section 21 on the previous page.

STATEMENT OF FINANCIAL INTEREST

State/District officials file with:
Sharon Priest, Secretary of State
State Capitol, Room 026
Little Rock, AR 72201
Phone 501.682.5070
Fax 501.682.3408

Calendar year covered _____
(Note: Filing covers the previous calendar year)

For Additional Information:
Arkansas Ethics Commission
Post Office Box 1917
Little Rock, AR 72203
Phone 501.324.9600
Fax 501.324.9606

Is this an amendment? Yes No

Please provide complete information. If the information requested in a particular section does not apply to you, indicate such by noting "Not Applicable" in that section. Do not leave any part of this form blank. If additional space is needed, you may attach the information to this document.

SECTION 1- NAME AND ADDRESS

Name _____
(Last) (First) (Middle)

Address _____
(Street or P.O. Box Number) (City) (State) (Zip)

Phone _____

Spouse's name _____
(Last) (First) (Middle)

All names under which you and/or your spouse do business:

SECTION 2- REASON FOR FILING

- Public Official _____
(office held)
- Candidate _____
(office sought)
- Municipal Judge _____
(name of municipality)
- City Attorney _____
(name of city)
- State Government: Agency head _____
(agency name)
- State Government: Department Director/Division Director _____
(department/division name)
- Public appointee to State Board or Commission _____
(name of board/commission)
- School Board member _____
(name of school district)
- Candidate for school board _____
(name of school district)
- Appointee to one of the following municipal, county or regional boards or commissions (list name of board or commission):
 - Planning board or commission _____
 - Airport board or commission _____
 - Water or Sewer board or commission _____
 - Utility board or commission _____
 - Civil Service commission _____

RECEIVED
SEP 21 11 11 AM '99
OFFICE OF THE SECRETARY OF STATE
LITTLE ROCK, AR

SECTION 9- NONGOVERNMENTAL SOURCES OF PAYMENT

List each nongovernmental source of payment of your expenses for food, lodging or travel which bears a relationship to your office when you appear in your official capacity when the expenses incurred exceed \$150.

- a) _____
(name of person or organization paying expense)
- _____ (address)
- _____ (date of expense)
- _____ (nature of expenditure)
- b) _____
(name of person or organization paying expense)
- _____ (address)
- _____ (date of expense)
- _____ (nature of expenditure)

SECTION 10- DIRECT REGULATION OF BUSINESS

List any business which employs you and is under direct regulation or subject to direct control by the governmental body which you serve.

- a) _____
(name of business)
- _____ (governmental body which regulates or controls)
- b) _____
(name of business)
- _____ (governmental body which regulates or controls)

SECTION 11- SALES TO GOVERNMENTAL BODY

List the goods or services sold to the governmental body for which you serve which have a total annual value in excess of \$1,000. List the compensation paid for each category of goods or services sold by you or any business in which you or your spouse is an officer, director or stockholder owning more than 10% of the stock of the company.

- a) _____
(goods or services)
- _____ (governmental body to whom sold)
- _____ (compensation paid)
- b) _____
(goods or services)
- _____ (governmental body to whom sold)
- _____ (compensation paid)

SECTION 12- SIGNATURE

I Certify under penalty of false swearing that the above information is true and correct.

Signature

STATE OF ARKANSAS

} ss

COUNTY OF _____

Subscribed and sworn to before me, a Notary Public this the _____ day of _____, _____.

(Legible Notary Seal)

Notary Public

Address

My commission expires: _____

IMPORTANT

Where to file:

State or district candidates and public servants file with the Secretary of State.

County, township and school district candidates and public servants file with the county clerk.

Municipal candidates and public servants file with the city clerk or recorder, as the case may be.

Municipal judges and city attorneys file with the city clerk of the municipality in which they serve.

General Information:

- The Statement of Financial Interest should be filed by January 31 of each year.
- The filing covers the previous calendar year.
- Candidates for elective office shall file the Statement of Financial Interest for the previous calendar year within thirty (30) days after the deadline for filing for office unless already filed by January 31.
- Agency heads, department directors and division directors of state government shall file the Statement of Financial Interest within thirty (30) days of appointment or employment unless already filed by January 31.
- Appointees to state boards or commissions shall file the Statement of Financial Interest within thirty (30) days after appointment unless already filed by January 31.
- If a person is included in any category listed above for any part of a calendar year, that person shall file a Statement of Financial Interest covering that period of time regardless of whether they have left their office or position as of the date the statement is due.

INSTRUCTIONS FOR STATEMENT OF FINANCIAL INTEREST

INTRODUCTION/WHO MUST FILE

Ark. Code Ann. § 21-8-701(a) requires the following persons to file an annual written Statement of Financial Interest:

- Public officials, as defined by Ark. Code Ann. § 21-8-402(16);
- Candidates for elective office;
- Municipal judges and/or city attorneys, whether elected or appointed;
- Any agency head, department director, or division director of state government;
- Public appointees to any state board or commission;
- All persons who are elected members of a school board or who are candidates for a position on a school board; and
- Any person appointed to a municipal, county or regional planning board or commission, airport board or commission, water or sewer board or commission, utility board or commission, or civil service commission.

The Arkansas Ethics Commission, which regulates this statute, has prepared these instructions, along with the office of the Secretary of State, whose office maintains the records, to assist persons required to file these statements. If you have any questions concerning the reporting requirements or how to fill out your Statement of Financial Interest, call or write either the **Arkansas Ethics Commission**, Post Office Box 1917, Little Rock, Arkansas 72203-1917, tel. (501) 324-9600 or the **Secretary of State, Elections Division**, State Capitol, Room 026, Little Rock, Arkansas 72201, tel. (501) 682-5070.

When preparing the Statement of Financial Interest, please **print or type the information**. You must also sign the Statement in Section 12 and your signature must be attested to before a Notary Public.

TIME FOR FILING/PERIOD COVERED

Pursuant to Ark. Code Ann. § 21-8-701(c)(1), a Statement of Financial Interest for the previous calendar year "shall be filed by January 31, of each year, except that a candidate for elective office shall file the Statement of Financial Interest within thirty (30) days after the deadline for filing for office." Moreover, an agency head, department director, or division director of state government and any public appointee to a state board or commission authorized or charged by law with the exercise of regulatory authority or authorized to receive or disburse state or federal funds shall file a Statement of Financial Interest for the previous calendar year within thirty (30) days after appointment or employment. Incumbent officeholders who filed a Statement of Financial Interest for the previous calendar year by January 31 of the year in which an election is held are not required to file an additional statement upon becoming a candidate for reelection or election to another office during the year. Ark. Code Ann. § 21-8-701(c)(2). If a person required to file a Statement of Financial Interest leaves his or her office or position during

a particular calendar year, he or she shall still be required to file a Statement of Financial Interest covering that part of the year which he or she held the office or position.

WHERE TO FILE

Pursuant to Ark. Code Ann. § 21-8-703, the Statement of Financial Interest shall be filed as follows:

- (1) State or district public servants are required to file the statement with the Secretary of State;
- (2) County, township, or school district public servants are required to file the statement with the county clerks;
- (3) Municipal public servants are required to file the statement with the city clerk or recorder;
- (4) Municipal judges and city attorneys are required to file the statement with the city clerk of the municipality within which they serve; and
- (5) Members of regional boards or commissions are required to file the statement with the county clerk of the county in which they reside.

SPECIFIC REPORTING INSTRUCTIONS

SECTION 1 (Name and Address)

Answer each of these questions or indicate "Not Applicable". List all names under which you and/or your spouse do business.

SECTION 2 (Reason for Filing)

Check the box appropriate to you. After noting which category fits you, provide the office/position held or name of the board or commission in the appropriate space.

SECTION 3 (Sources of Income)

The term "income" is intended to be comprehensive. It refers to all income from whatever source derived, including but not limited to compensation for services, fees, commissions, and gross income derived from business interests. Report each employer and/or each other source of income from which you, your spouse, or any other person for the use or benefit of you or your spouse receives income. Include your employment with the government which requires your filing of this form. You are required to use the gross amount received as income. Thus, you must compute your total income from any source without first deducting expenses.

You are not required to list the individual items of income that constitute a portion of the gross income of the business or profession from which you or your spouse derives income. You are required to list each source of income greater than \$1,000.00 if more than one source/employer/entity compensated you during the past year. If you or your spouse received

speaking honoraria, you must report, under the request for "source", the sponsor of each event for which a payment was made for your speech or appearance, as well as the date and dollar category ("more than \$1,000.00" or "more than \$12,500.00"). The term "honoraria", as used herein, means a payment of money or any thing of value for an appearance, speech, or article. Note: Food, lodging, and travel provided to a public servant in connection with an appearance would not constitute honoraria if the public servant is appearing in his or her official capacity and the appearance bears a relationship to the public servant's office or position. Section 9 of the Statement of Financial Interest addresses the reporting of payment for such food, lodging, and travel.

You must also provide a brief description of the nature of the services for which the compensation was received, as well as the name under which the income was received. For example:

Source	Description	Amount
State of Arkansas (address) John Doe	Executive Dir.	More than \$12,500.00
University of Arkansas (address) John M. Doe	Teaching	More than \$12,500.00
450 Main Street, Little Rock, Arkansas John M. Doe	Rent Income	More than \$12,500.00
Ark. Med. Society Annual Meeting (address) John Doe	Speaking fee Oct. 2, Little Rock	More than \$1,000.00
Star National Bank Star, Arkansas John or Jane Doe	Interest Income	More than \$1,000.00
City of Mayberry (address) Jane Doe	Spouse income	More than \$12,500.00
Ark. Bar Association Annual Meeting (address) Jane Doe	Speaking Fee Spouse, June 12 Hot Springs	More than \$1,000.00

Section 4 (Business or Holdings)

In this section, list the name of every business in which you, your spouse or any other person for the use of you or your spouse have an investment or holding. Stocks, bonds, stock options and other securities held by you or your spouse must be reported. Figures for these items, as well as all other holdings or accounts, should be based on fair market value at the end of the reporting period.

For **securities, stocks, or bonds**, you must disclose each security held in your portfolio which meets the \$1,000.00 threshold. If securities are held through an investment firm, the firm will normally provide periodic statements from which you may obtain the information required to be disclosed. If you own different types of securities issued by the same authority, such as U. S. Treasury obligations or bonds, it is not necessary to provide an itemized list of each security worth over \$1,000.00. Rather, you may simply report the aggregate value of the securities issued by the same authority and identify the type of securities.

In the case of **mutual funds or similar investments**, you need not disclose specific stocks held in a widely diversified investment trust or mutual fund as long as the holdings of the trust or fund are a matter of public record and you have no ability to exercise control over the specific holdings. If you have such control, you must disclose each holding meeting the threshold level of \$1,000.00, whether or not you exercise the control. Otherwise, you may simply disclose the name, address, etc. of the authority through which your mutual fund is invested (e.g., IDS), the category of the fund and the category of the appropriate amount (e.g., "more than \$1,000.00").

In the case of **bank accounts**, if the total of interest bearing accounts (including certificates of deposit) deposited in a particular bank exceeds \$1,000.00, list each institution holding more than \$1,000.00. If no particular bank holds more than \$1,000.00, you need not report any bank accounts. All accounts at one institution, including those for your spouse, may be combined as one entry. Thus, for example, you may report a checking account, savings account, certificate of deposit, and IRA in Smith First National Bank of Arkansas by checking the gross total of the accounts (e.g., "more than \$1,000.00) and stating "Smith First National Bank of Arkansas" with its address. You need not list each account. If you are listed on an account purely for custodial reasons, and you do not assert any ownership rights to the assets in the account (for example, if you are a joint tenant with an elderly relative), you need not list the account.

For any business interest, if you or your spouse has an interest in a proprietorship, partnership, or corporation that is actively engaged in a trade or business, you must disclose the name and address of each interest. It is not necessary to provide an itemized list of the assets of the business. For example, you need only categorize the total value of your interest (e.g., "more than \$12,500.00") and not items such as "office equipment". This includes each asset held in trust for you or your spouse which has a value greater than \$1,000.00. Holdings of a trust for which you or your spouse are merely an administrator and for which you have no beneficial interest need not be reported.

Section 5 (Office or Directorship)

You must report your nongovernmental offices and directorships held by you or your spouse in any business, corporation, firm or enterprise subject to the jurisdiction of a regulatory agency of this State, or any of its political subdivisions. For each such business, provide the name of the business, its address, the office or directorship held and the name of the person (either you or your spouse) who holds the office or directorship. A "regulatory agency", as defined by Ark. Code Ann. § 21-8-301(1), means any "state board, commission, department, or officer authorized by law to make rules or to adjudicate contested cases except those in the legislative or judicial branches."

Section 6 (Creditors)

You must report the name and address of each creditor to whom the value of \$5,000.00 or more is personally owed and outstanding at the end of the reporting period. All information regarding a single creditor may be reported in a single entry. If you have more than one liability owed to the same creditor, add up the items of credit to determine if the \$5,000.00 threshold has been met. The identity of the creditor is the name of the person or organization to which the liability is owed (e.g., "Bob Smith, 1000 Elm Street, Little Rock, Arkansas" or "First Federal Bank of Little Rock, 111 Main, Little Rock, Arkansas").

You do not need to include debts owed to members of you family. You may also exclude loans made in the ordinary course of business by either a financial institution or a person who regularly and customarily extends credit. This exclusion applies to such items as a mortgage secured by real property which is your personal residence, credit extended to purchase personal items such as furniture or appliances, credit card debts, and car loans, provided the credit does not exceed the value of the item purchased.

Debts not incurred in the ordinary course of business include, but are not limited to, such items as legal judgments, judgment liens, money borrowed from individuals, other than family members, who are not normally in the business of lending money, and tax liens owed to any governmental agency.

Section 7 (Guarantor, Co-Maker)

The law requires you to provide the name and address of each guarantor or co-maker, other than a member of your family, who has guaranteed a debt which is still outstanding. The \$5,000.00 threshold of Section 6 does not apply here. To the extent that you have a guarantor or co-maker of any of your outstanding debts, the guarantor or co-maker must be disclosed. There is no exception for debts incurred in the ordinary course of business. This requirement also includes debts arising, extended or refinanced after January 1, 1989.

This requirement extends to situations where you have co-signed a loan to assist another person in obtaining credit, unless the person is a member of your family.

Section 8 (Gifts)

The law requires you to identify the source, date, fair market value, and description of each gift of more than one hundred dollars (\$100.00) received by you or your spouse during the reporting period or more than two hundred and fifty dollars (\$250.00) received by your dependent children during the reporting period. A gift is any "payment entertainment, advance, services or anything of value" unless consideration of equal or greater value has been given in return. All types of gifts, including travel-related, paid-for expenses provided for your personal benefit, must be reported. Travel (including food and lodging) received in connection with official duties and capacity is reported separately. (See below -- Section 9 "Nongovernmental Sources of Payment.")

A gift can be a tangible item, such as a watch or cash, or an intangible item, such as travel or lodging given you during an occasion when you were not appearing in an official capacity. A gift does not include (1) informational material, (2) receiving food, lodging or travel which bears a relationship to the public servant's office and when appearing in an official capacity, (3) gifts which are not used and returned to the donor within 30 days, (4) gifts from a family member, as defined by Ark. Code Ann. § 21-8-402(5)(B)(iv), unless the family member is acting as an agent for a person not covered by this paragraph, (5) campaign contributions, (6) devises or inheritances, (7) anything with a value of \$100 or less, or (8) wedding presents.

In reporting a gift, you must report the source, the date it was received, its fair market value, and a brief description. In that regard, the Ethics Commission has issued opinions concerning the "fair market value" of such items as "transportation on a private aircraft." A group of items received from the same source at the same time would be considered one gift and the separate values should be added together. As an example, if you receive a tie and tie clip (valued \$50.00) along with a pair of golf shoes (valued at \$75) from one donor, this should be reported and described on line 3, Section 8, as the receipt of a gift, "tie, tie clip and shoes." The value would be \$125.00. Similarly, food and beverages provided you in connection with lodging should be aggregated to ascertain if the threshold reporting level has been reached. If you are unsure if the value should be aggregated for purposes of reporting, you may wish to contact the Arkansas Ethics Commission for an opinion.

Section 9 (Nongovernmental Sources of Payment)

The law allows public officials to receive sources of payment or income from other sources. If you receive money or things of value when acting in an "unofficial capacity", these items will be reported either as "income" (Section 3) or as a "gift" (Section 8). When you receive a payment for expenses, from a nongovernmental source, exceeding \$150.00, for food, lodging or travel, which bears a relationship to your office when you appear in your official capacity, you must list each such payment in Section 9.

This section concerns expenses paid by nongovernmental sources (such as lobbyists). Each payment exceeding \$150 in value must be reported. You must list the name and business address of the person or organization which has paid your expenses, the date and nature of the expenses if the expenses were not compensated by the governmental body for which the public

servant serves. Thus, you must disclose in this section, lodging or travel for such activities as speaking engagements, conferences or fact finding events related to your official duties.

Section 9 requires the disclosure of each nongovernmental source of payment. The threshold applicable to this section is to the source and not the individual payment. If one source provides lodging and food and the total of the expenses exceeds \$150.00, it must be reported in this section. You do not need to itemize the dollar value or provide an itemized accounting of the expenses provided. Also, as an example, you do not need to indicate whether the travel was on private or commercial carrier. You only need to provide the name of the organization providing the travel, its address, the date of the travel and the nature of the expenses, i.e. "travel to conference along with lodging."

The **organization** is the source of payment. It should be the name of the sponsor actually paying or providing the expenses. The **date of expenses** should be the inclusive dates of all travel provided. If the travel all occurred on one day, report that day. Otherwise, list the starting and ending dates of each trip provided (i.e., "May 1 - 5, 1997").

It is permissible to extend a trip at your own expense, accepting return travel from the sponsor. However, to avoid suggesting that travel was accepted for a longer period of time than was actually the case, you should indicate any time not spent at the sponsor's expense on either the line requesting the "date" or "nature" of expenses. For example, using the dates listed above, you could report "May 1 - 5, 1997. May 3 - 4 on personal business, not reimbursed."

Section 10 (Direct Regulation of Business)

The law requires you to list any business for whom you are employed if the business is under direct regulation or subject to direct control by the governmental body which you serve. You must report the employment by listing the name of this business/employer and provide the governmental body which regulates or controls aspects of the business. Such a business relationship typically exists if your private employer is subject to any rules or regulations of a governmental body or if a governmental body adjudicates contested cases of fact involving your private employer. For example, if you work as a licensed dentist, the appropriate regulatory governing body may be the State Board of Dental Examiners.

Whether your business is under direct regulation or subject to direct control by a governing body is often a question of fact. If you are unsure, you should contact the Arkansas Ethics Commission or, if you know, the agency you suspect may regulate part or all of your activities.

Section 11 (Sales to Governmental Body)

The law requires you to report certain business relationships with the government if a significant sale of goods or services occurs. Specifically, you must set out in detail the goods or services sold having a total annual value in excess of \$1,000.00 sold to the governmental body for which you serve or are employed and the compensation paid for each category of goods or

services by you or any business in which you or your spouse is an officer, director, stockholder owning more than ten percent (10%) of the stock, owner, trustee, or partner.

Section 12 (Signature)

Under the law, each person, required to file a Statement of Financial Interest must prepare the statement under penalty of false swearing and sign such form attesting to the truth and accuracy of the information set forth on the form. Ark. Code Ann. § 21-8-702. If a person who is required to file a Statement of Financial Interest is called to active duty in the armed forces of the United States, the statement may be completed by the spouse of the person. If the Statement of Financial Interest is completed by the spouse, under this exception, the spouse's signature shall be sufficient for the requirement of Ark. Code Ann. § 21-8-702.

REVISED 7/99

BALLOT QUESTION COMMITTEE (BQC) STATEMENT OF ORGANIZATION

To be filed with:
Arkansas Ethics Commission
Post Office Box 1917
Little Rock, AR 72203
Phone (501) 324-9600
Fax (501) 324-9606

(Arkansas Ethics Commission File Stamp)

Check if this is an amendment

Section One: BQC Name

Name of BQC (in full): _____

Section Two: BQC Address & Phone Number

If BQC has no office address, use the address of the BQC officer authorized to receive notices on behalf of the BQC.

Address: _____

City _____ State _____ Zip _____ Telephone Number _____

Section Three: BQC Officers

Provide the name, title, address and telephone number for each officer of the BQC.

Name: _____ Title _____

Address: _____ City: _____ State: _____ Zip: _____

Telephone Number: _____

Name: _____ Title _____

Address: _____ City: _____ State: _____ Zip: _____

Telephone Number: _____

Name: _____ Title _____

Address: _____ City: _____ State: _____ Zip: _____

Telephone Number: _____

Name: _____ Title _____

Address: _____ City: _____ State: _____ Zip: _____

Telephone Number: _____

FILED
AR. ETHICS COM. DIV.
99 SEP 21 PM 3:44
STATE OF ARKANSAS

Section Four: Financial Institution

Provide the name and address of each financial institution in which the BQC deposits money or anything else of monetary value.

Name of Financial Institution: _____

Address: _____ City _____ State _____ Zip _____

Name of Financial Institution: _____

Address: _____ City _____ State _____ Zip _____

Section Five: Brief Statement

Provide a brief statement identifying the substance of each ballot question whose qualification, passage, or defeat the committee seeks to influence or of each legislative question which passage or defeat the committee seeks to influence.

Date

Signature of BQC Officer

BALLOT QUESTION COMMITTEE FINANCIAL REPORT

To be filed with:
 Arkansas Ethics Commission
 Post Office Box 1917
 Little Rock, AR 72203
 Phone 501-324-9600
 Fax 501-324-9606

(Arkansas Ethics Commission File Stamp)

Check if this report is an amendment

1. NAME OF COMMITTEE (IN FULL)	
ADDRESS	2. TYPE OF REPORT <input type="checkbox"/> Monthly Report (due 15 days after end of month) <input type="checkbox"/> Preelection Report (due 7 days before election) <input type="checkbox"/> Final Report (due 30 days after election)
CITY, STATE AND ZIP CODE	

This report covers period: (- -) through (- -)

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTALS
3. BALANCE OF FUNDS AT BEGINNING OF REPORTING PERIOD		
4. TOTAL CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD		
5. TOTAL EXPENDITURES MADE DURING REPORTING PERIOD		
6. BALANCE OF FUNDS AT CLOSE OF REPORTING PERIOD		
7. () NO ACTIVITY Check if you have not received or made any contributions during this reporting period. If you have no activity, file the first page of this report only.		

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true and accurate financial statement.

Signature of Ballot Question Committee Officer

State of Arkansas }
 County of _____ } ss

Subscribed and sworn to before me, a Notary Public, this the _____ day of _____

Signature of Notary Public

(Legible Notary Seal)

Address

My Commission Expires: _____

LOBBYIST REGISTRATION FORM

Please print or type

To be filed with:
Sharon Priest, Secretary of State
State Capitol, Room 026
Little Rock, AR 72201
Phone 501.682.5070
Fax 501.682.3408

For additional information:
Arkansas Ethics Commission
Post Office Box 1917
Little Rock, AR 72203
Phone 501.324.9600
Fax 501.324.9606

Registration for _____
(year)

Check if this is an amended registration

Entity to be Lobbied

Check each applicable box

- Members of the General Assembly Public Servants of State Government
- Public Servants of County Government _____
Name of County
- Public Servants of Municipal Government _____
Name of Municipality

Type of Registration

Check only one box

- Individual Lobbyist Firm

Name of individual lobbyist or firm _____

Address _____

City _____ State _____ Zip _____ Phone _____

If registering as a firm, list the name of a contact person: _____

If registering as a firm, list the name of each person who is authorized to lobby for the firm:

Print Name _____ Signature _____

Print Name _____ Signature _____

Print Name _____ Signature _____

Print Name _____ Signature _____

Print Name _____ Signature _____

Print Name _____ Signature _____

Print Name _____ Signature _____

Print Name _____ Signature _____

Print Name _____ Signature _____

FILED
FOR REGISTRATION DIV
SEP 21 PM 9:40
BY

LOBBYIST ACTIVITY REPORT

To be filed with:
Sharon Priest, Secretary of State
State Capitol, Room 026
Little Rock, AR 72201
Phone 501.682.5070
Fax 501.682.3408

Filing for _____
(year)

Check here if this report is an amendment

For additional information:
Arkansas Ethics Commission
Post Office Box 1917
Little Rock, AR 72203-1917
Phone 501.324.9600
Fax 501.324.9606

INDIVIDUAL LOBBYIST OR FIRM INFORMATION

Print or Type

Name _____

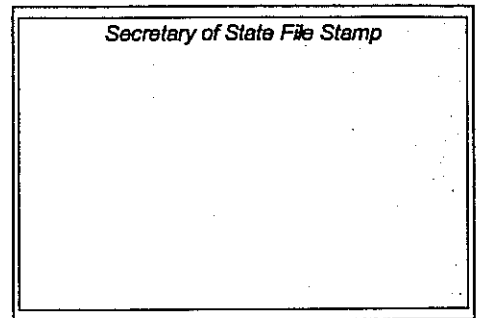
Address _____

City _____ State _____ Zip _____ Phone _____

TYPE OF REPORT

- First Quarter (due April 15)
- Second Quarter (due July 15)
- Third Quarter (due October 15)
- Fourth Quarter (due January 15)
- Monthly Report for _____

- NO ACTIVITY** (Check if you are reporting no activity for all clients; file this page only)



SIGNATURE

(If registered as a firm, each lobbyist listed on the firm registration must sign this report. Attach additional sheets if necessary)

Name _____ Signature _____

Name _____ Signature _____

Name _____ Signature _____

Name _____ Signature _____

AFFIDAVIT

I swear that I shall preserve and maintain for a period of four (4) years all documentation necessary to substantiate this report and that the information contained herein is true and correct to the best of my knowledge, information and belief.

Signature of Individual Lobbyist or Contact Person for Firm

Sworn to and subscribed before me, a Notary Public, in and for _____ County, _____, on this _____ day of _____

(Legible Notary Seal)

Notary Signature

My Commission Expires

Note: If faxed, raised notary seal must be inked and the original must follow with ten (10) days.

EXPENDITURES PER EMPLOYER OR CLIENT

Itemized and Non Itemized

Use additional copies of this page is necessary

Employer/Client Address Phone		Employer/Client Address Phone	
	Item	Amount	
	Advertising		Advertising
	Entertainment		Entertainment
	Food, Lodging or Travel		Food, Lodging or Travel
	Living Accommodations		Living Accommodations
	Postage		Postage
	Printing		Printing
	Special Events		Special Events
	Telephone		Telephone
	Other (list)		Other (list)
Total			Total

Employer/Client Address Phone		Employer/Client Address Phone	
	Item	Amount	
	Advertising		Advertising
	Entertainment		Entertainment
	Food, Lodging or Travel		Food, Lodging or Travel
	Living Accommodations		Living Accommodations
	Postage		Postage
	Printing		Printing
	Special Events		Special Events
	Telephone		Telephone
	Other (list)		Other (list)
Total			Total

Employer/Client Address Phone		Employer/Client Address Phone	
	Item	Amount	
	Advertising		Advertising
	Entertainment		Entertainment
	Food, Lodging or Travel		Food, Lodging or Travel
	Living Accommodations		Living Accommodations
	Postage		Postage
	Printing		Printing
	Special Events		Special Events
	Telephone		Telephone
	Other (list)		Other (list)
Total			Total

GIFTS

List each gift with a value exceeding \$100

Use additional copies of this page if necessary

DATE				
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID/ VALUE OF GIFT	\$			
NAME OF EMPLOYER/CLIENT				
DESCRIPTION OF GIFT				
DATE				
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID/ VALUE OF GIFT	\$			
NAME OF EMPLOYER/CLIENT				
DESCRIPTION OF GIFT				
DATE				
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID/ VALUE OF GIFT	\$			
NAME OF EMPLOYER/CLIENT				
DESCRIPTION OF GIFT				
DATE				
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID/ VALUE OF GIFT	\$			
NAME OF EMPLOYER/CLIENT				
DESCRIPTION OF GIFT				
DATE				
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID/ VALUE OF GIFT	\$			
NAME OF EMPLOYER/CLIENT				
DESCRIPTION OF GIFT				

FOOD, LODGING OR TRAVEL

List expenditures exceeding \$40 per person per day for food (including beverages), lodging or travel

DATE OF EXPENDITURE	/	/	AMOUNT PAID TOWARD EXPENDITURE	\$
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body Represented
PURPOSE OF TRAVEL OR LODGING				
NAME OF CONFERENCE, SEMINAR OR EVENT				
LODGING INFORMATION	Name of lodging establishment			
	Address	City	State	Zip
	Cost/Fair Market Value of Lodging (List Greater Value)			
	\$			
TRAVEL INFORMATION	Name of Entity Receiving Payment			
	Cost/Fair Market Value of Travel (List Greater Value)			
	\$			
EMPLOYER/CLIENT				
NAMES OF OTHER LOBBYISTS SHARING COST				

DATE OF EXPENDITURE	/	/	AMOUNT PAID TOWARD EXPENDITURE	\$
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body Represented
PURPOSE OF TRAVEL OR LODGING				
NAME OF CONFERENCE, SEMINAR OR EVENT				
LODGING INFORMATION	Name of lodging establishment			
	Address	City	State	Zip
	Cost/Fair Market Value of Lodging (List Greater Value)			
	\$			
TRAVEL INFORMATION	Name of Entity Receiving Payment			
	Cost/Fair Market Value of Travel (List Greater Value)			
	\$			
EMPLOYER/CLIENT				
NAMES OF OTHER LOBBYISTS SHARING COST				

Food, Lodging or Travel Continued

DATE OF EXPENDITURE		AMOUNT PAID TOWARD EXPENDITURE	
/ /		\$	
PUBLIC SERVANT BENEFITED	First MI Last	Governmental Body Represented	
PURPOSE OF TRAVEL OR LODGING			
NAME OF CONFERENCE, SEMINAR OR EVENT			
LODGING INFORMATION	Name of lodging establishment		
	Address	City	State Zip
	Cost/Fair Market Value of Lodging (List Greater Value)		
	\$		
TRAVEL INFORMATION	Name of Entity Receiving Payment		
	Cost/Fair Market Value of Travel (List Greater Value)		
	\$		
EMPLOYER/CLIENT			
NAMES OF OTHER LOBBYISTS SHARING COST			

DATE OF EXPENDITURE		AMOUNT PAID TOWARD EXPENDITURE	
/ /		\$	
PUBLIC SERVANT BENEFITED	First MI Last	Governmental Body Represented	
PURPOSE OF TRAVEL OR LODGING			
NAME OF CONFERENCE, SEMINAR OR EVENT			
LODGING INFORMATION	Name of lodging establishment		
	Address	City	State Zip
	Cost/Fair Market Value of Lodging (List Greater Value)		
	\$		
TRAVEL INFORMATION	Name of Entity Receiving Payment		
	Cost/Fair Market Value of Travel (List Greater Value)		
	\$		
EMPLOYER/CLIENT			
NAMES OF OTHER LOBBYISTS SHARING COST			

OTHER ITEMS

List any item with a value exceeding \$40

DATE ITEM GIVEN				
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID/ VALUE OF ITEM	\$			
NAME OF EMPLOYER/CLIENT				
DESCRIPTION OF ITEM				
DATE ITEM GIVEN				
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID/ VALUE OF ITEM	\$			
NAME OF EMPLOYER/CLIENT				
DESCRIPTION OF ITEM				
DATE ITEM GIVEN				
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID/ VALUE OF ITEM	\$			
NAME OF EMPLOYER/CLIENT				
DESCRIPTION OF ITEM				
DATE ITEM GIVEN				
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID/ VALUE OF ITEM	\$			
NAME OF EMPLOYER/CLIENT				
DESCRIPTION OF ITEM				
DATE ITEM GIVEN				
PUBLIC SERVANT BENEFITED	First	MI	Last	Governmental Body of Public Servant
AMOUNT PAID/ VALUE OF ITEM	\$			
NAME OF EMPLOYER/CLIENT				
DESCRIPTION OF ITEM				

SPECIAL EVENTS

(Includes Hospitality Rooms)

Use additional copies of this page if necessary

DATE(S) OF EVENT	
NAME OF EVENT	
LOCATION OF EVENT	
GOVERNMENTAL BODY OR GROUP(S) OF PUBLIC SERVANTS INVITED	
AMOUNT PAID TOWARD TOTAL EXPENDITURE	
NAME OF EMPLOYER/CLIENT	
OTHER LOBBYISTS SHARING COST	
DATE(S) OF EVENT	
NAME OF EVENT	
LOCATION OF EVENT	
GOVERNMENTAL BODY OR GROUP(S) OF PUBLIC SERVANTS INVITED	
AMOUNT PAID TOWARD TOTAL EXPENDITURE	
NAME OF EMPLOYER/CLIENT	
OTHER LOBBYISTS SHARING COST	
DATE(S) OF EVENT	
NAME OF EVENT	
LOCATION OF EVENT	
GOVERNMENTAL BODY OR GROUP(S) OF PUBLIC SERVANTS INVITED	
AMOUNT PAID TOWARD TOTAL EXPENDITURE	
NAME OF EMPLOYER/CLIENT	
OTHER LOBBYISTS SHARING COST	
DATE(S) OF EVENT	
NAME OF EVENT	
LOCATION OF EVENT	
GOVERNMENTAL BODY OR GROUP(S) OF PUBLIC SERVANTS INVITED	
AMOUNT PAID TOWARD TOTAL EXPENDITURE	
NAME OF EMPLOYER/CLIENT	
OTHER LOBBYISTS SHARING COST	

OTHER EXPENDITURES

Have you loaned or promised money or established a line of credit for or on behalf of a public servant over \$25 per individual? Yes No

If yes, complete the following information:

Date	Public Servant Benefited/Governmental Body Represented	Amount
		\$
		\$
		\$

Do you have a direct business association or partnership with any public servant whom you may lobby? Yes No

If yes, state the name of each such public servant and describe the business association or partnership in detail.

Name of public servant: _____

Business relationship: _____

Name of public servant: _____

Business relationship: _____

Name of public servant: _____

Business relationship: _____

Name of public servant: _____

Business relationship: _____

Political Party Annual Contribution Report

This report should be filed with the Secretary of State no later than January 15

Sharon Priest, Secretary of State
State Capitol, Room 026
Little Rock, AR 72201
Phone (501) 682-5070
Fax (501) 682-3408

Arkansas Ethics Commission
910 West Second, Suite 100
Little Rock, AR 72201
Phone (501) 324-9600
Fax (501) 324-9606

This Report Covers Calendar Year _____

Name of Political Party: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Total Contributions Received During Reporting Period: \$ _____

Name of Person Completing Report: _____

<Affidavit>

I certify that I have examined this report and to the best of knowledge and belief it is true, correct and complete.

Signature of Party Representative

Sworn to and subscribed before me, a Notary Public, in and for _____ County, Arkansas, on this _____ day of _____, 19_____.

Commission Expiration Date

Signature of Notary

Notary Public Stamp
(Raised Seal Must Be Inked)

Secretary of State File Stamp

FILED
REGISTER DIV.
9 SEP 21 PM 3:40
STATE OF ARKANSAS

POLITICAL ACTION COMMITTEE (PAC) REGISTRATION FORM

To be filed with:
Sharon Priest, Secretary of State
State Capitol, Room 026
Little Rock, AR 72201
Phone (501) 682-5070
Fax (501) 682-3408

For additional information contact:
Arkansas Ethics Commission
Post Office Box 1917
Little Rock, AR 72203
Phone (501) 324-9600
Fax (501) 324-9606

Registration for calendar year _____

Is this report an amendment? Yes No
Please indicate if this PAC is to be registered as a Small Donor PAC: Yes No

Section One: PAC Name

If the name of the PAC is an acronym, the full name of the PAC and the acronym should be disclosed

Name of PAC (in full): _____

Acronym (if applicable): _____

Section Two: PAC Address & Phone Number

If PAC has no office address, use the address of the PAC officer authorized to receive notices on behalf of the PAC.

Address: _____

City _____ State _____ Zip _____ Telephone Number _____

Section Three: PAC Officers

Provide the name, address, telephone number and place of employment for each officer of the PAC.

Name: _____ Title _____

Address: _____ City: _____ State: _____ Zip: _____

Place of Employment: _____ Telephone Number: _____

Name: _____ Title _____

Address: _____ City: _____ State: _____ Zip: _____

Place of Employment: _____ Telephone Number: _____

Name: _____ Title _____

Address: _____ City: _____ State: _____ Zip: _____

Place of Employment: _____ Telephone Number: _____

Name: _____ Title _____

Address: _____ City: _____ State: _____ Zip: _____

Place of Employment: _____ Telephone Number: _____

FILED
REGISTERED
90 SEP 21 01 31 10

Section Four: Interests Represented

Provide any professional, business, trade, labor or other interests represented by the PAC. Include any individual business, organization, association, corporation, labor organization or other group or firm whose interests will be represented by the PAC.

Name of Interest Represented: _____

Address: _____ City _____ State _____ Zip _____

Name of Interest Represented: _____

Address: _____ City _____ State _____ Zip _____

Name of Interest Represented: _____

Address: _____ City _____ State _____ Zip _____

Name of Interest Represented: _____

Address: _____ City _____ State _____ Zip _____

Name of Interest Represented: _____

Address: _____ City _____ State _____ Zip _____

Affidavit

I certify under oath that the above information is true and correct. In addition, I certify that I have and shall maintain for a period of four (4) years records evidencing (1) the name, address and place of employment of each person who contributed to the committee, along with the amount contributed and (2) the name and address of each candidate who received a contribution from the committee, along with the amount contributed.

Signature of Committee Officer

State of Arkansas } ss.
County of _____

Subscribed and sworn to before me, a Notary Public, this the _____ day of _____, _____.

Signature of Notary Public

(Legible Notary Seal)

Address

My Commission Expires: _____

POLITICAL ACTION COMMITTEE (PAC) QUARTERLY REPORTING FORM

To be filed with:
Sharon Priest, Secretary of State
State Capitol, Room 026
Little Rock, AR 72201
Phone 501-682-5070
Fax 501-682-3408

For additional information:
Arkansas Ethics Commission
Post Office Box 1917
Little Rock, AR 72203
Phone 501-324-9600
Fax 501-324-9606

1. NAME OF COMMITTEE (IN FULL)	2. TYPE OF REPORT
ADDRESS	<input type="checkbox"/> April 15 Quarterly covers January 1 through March 31 <input type="checkbox"/> July 15 Quarterly covers April 1 through June 30 <input type="checkbox"/> October 15 Quarterly covers July 1 through September 30 <input type="checkbox"/> January 15 Quarterly covers October 1 through December 31
CITY, STATE AND ZIP CODE	3. IS THIS REPORT AN AMENDMENT? <input type="checkbox"/> YES <input type="checkbox"/> NO

SUMMARY	FOR REPORTING PERIOD	CUMULATIVE TOTALS
4. BALANCE OF FUNDS AT BEGINNING OF REPORTING PERIOD		
5. INTEREST EARNED ON COMMITTEE FUNDS (IF ANY)		
6. TOTAL CONTRIBUTIONS RECEIVED DURING REPORTING PERIOD		
7. TOTAL CONTRIBUTIONS MADE DURING REPORTING PERIOD		
8. BALANCE OF FUNDS AT CLOSE OF REPORTING PERIOD		
9. () NO ACTIVITY (check if you have not received or made any contributions during this reporting period)		

I certify under oath that I have examined this report and to the best of my knowledge and belief the information so disclosed is a complete, true and accurate financial statement.

Signature of PAC Officer

State of Arkansas

} ss

County of _____

Subscribed and sworn to before me, a Notary Public, this the _____ day of _____

Signature of Notary Public

(Legible Notary Seal)

Address

NOTARY PUBLIC
 STATE OF ARKANSAS
 SEP 21 11:54 AM '99
 LITTLE ROCK, AR
 MISSOURI

My Commission Expires: _____

DISCLOSURE BY MEMBERS OF THE GENERAL ASSEMBLY
OF CERTAIN SALES TO THE STATE - ACT 808 OF 1991

If additional space is needed, attach information to this document.

Name _____
(last) (first) (middle)

Address _____
(street) (p.o. box) (city, state) (zip)

List any goods or services sold during the previous calendar year having a total annual value in excess of \$1,000 to an office, department, commission, council, board, bureau, committee, legislative body, agency or other establishment of the State of Arkansas, by the member, his or her spouse, or by any business in which the member or his or her spouse is an officer, director, or stockholder owning more than 10% of the stock.

a) _____
(goods or services)

(establishment of the state sold to)

(sold by)

(relationship of seller to member)

b) _____
(goods or services)

(establishment of the state sold to)

(sold by)

(relationship of seller to member)

c) _____
(goods or services)

(establishment of the state sold to)

(sold by)

(relationship of seller to member)

_____ I have had no sales to the state as referenced in Act 808 of 1991.

I certify under penalty of perjury that the above information is true and correct.

STATE OF ARKANSAS }
COUNTY OF _____ } ss.

Subscribed and sworn to before me, a Notary Public, this the _____ day of _____, 19____.

signature _____

Notary Public
Address _____

My Commission Expires: _____